DOCUMENT RESUME

ED 136 287 CS 203 264

AUTHOR Bruno, Sam J., Ed.
TITLE 1776-1976: From Revolution to Revelation; Proceedings of the Southwest American Business Communication Association Spring Conference (3rd, San Antonio, Texas, March 17-20, 1976).
INSTITUTION Southwest American Business Communication Association.
PUB DATE 76
NOTE 150p.; Some tables may be marginally legible due to small print size

EDRS PRICE MF-$0.83 HC-$7.35 Plus Postage.
DESCRIPTORS *Business Communication; Communication (Thought Transfer); Conference Reports; Management; *Nonverbal Communication; *Organizational Communication; Research

ABSTRACT

The papers included in this document represent most of the papers presented at the 1976 conference of the Southwest American Business Communication Association and deal with various aspects of business communication. Topics of papers are nonverbal aspects of business communication; four problems relating to awareness of metacommunication in business correspondence; perceptions of group leaders' attitudes toward "self" and "others"nonverbal facial communicative behavior; effective corrective communication; conceptual fragmentation: a trend toward noncommunication; talking to ourselves; communication as a key to management by objectives; loss of an election due to communications failure; communicating with area newcomers; management-to-management communications; an experimental approach to teaching factors of leadership emergence, morale, and efficiency in small-group communication networks; conceptualizing planned vs. unplanned communications; effectiveness of order of information in various business communication situations; and the effect of moral judgments on leadership styles. (JM)

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PROCEEDINGS

1776-1976:
FROM REVOLUTION TO REVELATION

1976 SOUTHWEST ABCA SPRING CONFERENCE

SAM J. BRUNO, EDITOR

SCHOOL OF PROFESSIONAL STUDIES
UNIVERSITY OF HOUSTON AT CLEAR LAKE CITY
2700 Bay Area Boulevard
Houston, Texas 77058

CS 203 264

FOREWARD

An Incident

The story is told about a drunk in a large metropolitan city who was searching diligently and aimlessly under a street light for something he apparently had lost. When a squad car stopped and the policemen asked him what he was doing, he replied; "I'm looking for my lost key chain." As the conversation continued, the policemen inquired casually where the man had first noticed he had lost his keys. His rejoinder was "several blocks up the street." The policemen, somewhat puzzled queried the man: "Why are you looking for the lost keys here?" His immediate response was, "Because the light is better here."

A Southwest ABCA Application

Using that simple illustration as a lead, I have the pleasure--once again--of acknowledging and beginning these 3rd Annual Southwest ABCA Proceedings. Yet my feelings are that if you are looking for something truly meaningful here, you are looking in the wrong place. It is my privilege of beginning these Proceedings, and of acknowledging those whose work made them possible; but their true value lies in the articles themselves. If you are looking for any meaninfgul business communication ideas turn several pages ahead. I have the opportunity only of pointing you to the right place.

Before you do that, however, please remember that these Proceedings have been completed with the tireless dedication and support of many people who certainly deserve mention. First Sam Bruno, whose idea it was to originate these annual Proceedings three years ago, must receive our thanks once again. His untold hours of work in editing, printing and mailing them in addition to his "normal" load of activities in research and teaching denote his professionalism and devotion to ABCA.

Second, Dr. Rosemary Pledger, Dean of Professional Studies at the University of Houston at Clear Lake, provided the academic environment, typing time, and needed encouragement for the papers to be unified in such a way for them to be published as Proceedings. All too often I feel we overlook the support that leaders in business administration units provide for our Association. For that reason, as well as many others, I say on behalf of the Southwest ABCA region a personal and professional "thanks."

Third, and certainly these acknowledgments are not rank ordered, Dale Level, our Program Chairperson, put together a terrifically stimulating program in our country's bicentennial year, 1976. Having worked with him along with other program leaders, as well as serving myself in that position, I know some of the uncertainties and joys Dale now has of 1976 program. I would hope that all of us would extend to Dale our deepest appreciation for the program's content as well as its conduct. Without question, he served in exemplary fashion for Southwest ABCAers. I fortunately, have the distinct pleasure of thanking him on paper; but for some reason, that seems not enough. And those of you who have worked in a similar position or will do so in the future know how much I have left out.

There is a saying associated with the Gestalt area of psychology that goes something like this: "Don't push the river; it flows by itself!" You--those who attended the meetings in San Antonio, those who join and support us all year long, and those who are interested in business communication from its contiguous professional groups--represent the true "current" and direction of the Southwest ABCA group. You are the ones who deserve special thanks because of your active interest and because you are the river. We who write forwords and the like have the pleasure of noticing the beauty we see in each of you. Most of my thanks, then, must go to each of you for all the support you give and continue to give each and every year.

My hope is that these 1976 Proceedings will provide a "springtime" all year long in your bookshelf. Each time you read, reread, and develop ideas from them, I know you will feel a freshness and vitality that the SWFAD meetings in San Antonio, 1976, provided.

John D. Pettit, Jr.
Vice President - Southwest American
Business Communication Association

North Texas State University
December, 1976

PREFACE

The Southwest American Business Communication Association Spring Conference was held March 17-20, 1976 at San Antonio, Texas. And this collection of papers represents most of those presented at this highly successful meeting held during America's Bicentennial Year. The mood of the bicentennial year was reflected in the conference theme, "1776-1976: From Revolution to Revelation." Unlike the bicentennial year the Southwest ABCA Proceedings have been prepared for three consecutive years. The research efforts of many ABCA'ers and friends of the Southwest ABCA have been distributed throughout this country. Two previous editions of the Southwest ABCA Proceedings have been included in the ERIC system. ERIC is a clearinghouse on reading and communication skills. Abstracts of these Proceedings appeared in the July issue of Resources in Education.

Nearly all contributors to this Proceedings provided camera ready manuscripts. One or two papers required retyping to achieve uniform style and presentation. Therefore, full responsibility is assumed for any and all mistakes that might appear in these papers. These camera ready manuscripts expedited and minimized the cost of publishing this work. Except for minor changes necessitated by typographical errors in manuscripts and obvious errors in footnote construction, the editor avoided making any alterations in this collection of papers.

Thus, papers appearing in this manuscript are as they were originally presented at the conference. The sequencing of these papers corresponds to the conference program. The complete conference program is included in this publication. For one reason or another, all of the 21 papers presented at the Spring meeting do not appear in this Proceedings.

As evident from the conference program and the contents of this Proceedings, Dale Level of the University of Arkansas arranged an outstanding program and Dale deserves our hearty congratulations.

An undertaking of this magnitude deserves the acknowledgment of many persons. Foremost among them are the authors who diligently prepared their manuscripts according to a very detailed set of instructions. My most capable work study students, Etta Watson and Lou Payne, also deserve recognition for their contribution to the Proceedings. I am indebted to Etta Watson for preparing many of the prefatory parts, correcting typographical errors, and carefully proof reading the entire manuscript. Lou Payne very skillfully retyped manuscripts, prepared the table of contents and contributed in various other ways to the completion of this work.

The editor and members of the Southwest ABCA are especially indebted to Dr. Rosemary Pledger, Dean of the School of Professional Studies for allocating a portion of the Small Business Administration Grants to defray the cost of publishing this Proceedings and for encouraging the publication of this collection of papers. Her continued support in professional and research oriented activities are greatly appreciated. To all of these dedicated people I am truly grateful.

It is hoped this third edition of the Southwest ABCA Proceedings, like the others, are professionally enriching and serves as a valuable reference tool for Business Communication.

Sam J. Bruno
Editor
ABCA -- Southwest Region

University of Houston at Clear Lake City
December, 1976

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PROGRAM

SOUTHWESTERN REGIONAL MEETING

AMERICAN BUSINESS COMMUNICATION ASSOCIATION

"1776 - 1976: FROM REVOLUTION TO REVELATION"

Thursday, March 18, 1976 Fiesta 2

1:30 pm WELCOME AND INTRODUCTIONS

Chairperson: Dale Level
University of Arkansas

Speaker: John Pettit
North Texas State University
Vice President Southwest Region

1:45 pm NON-VERBAL DIMENSIONS OF BUSINESS COMMUNICATION

Chairperson: Jim Carter
North Texas State University

Speakers:

Communicating Louder Than Words: Non-Verbal Aspects of Business Communication
W. Jack Duncan and Fred L. Myrick
University of Alabama in Birmingham

Four Problems Relating to Awareness of Metacommunication in Business Correspondence
Marlin C. Young
Stephen F. Austin State University

Perceptions of Group Leader's Attitudes Toward "Self" and "Others": A Study in Non-Verbal Facial Communicative Behavior
Carl Hicks
Indiana State University

The Non-Verbal Communication Aspects of Business Letters
James Watt
Texas Tech University

3:30 pm INTRA & INTERPERSONAL COMMUNICATION IN THE BUSINESS WORLD

Chairperson: Herman Napier
University of Arkansas-Fayetteville

Speakers:

Toward Effective Corrective Communication
Betty Yantis
University of Nevada, Las Vegas

Conceptual Fragmentation: A Trend Toward Non-Communication
Bill Galle
East Tennessee State University

Talking to Ourselves
Franklin Williams
University of Arkansas, Fayetteville

6:30 pm DINNER

Chairperson: Jack Lord
University of Texas, Austin

Friday, March 19, 1976

8:45 am ON MY WAY TO THE FORUM

Chairperson: Lynn Johnson
Southwest Texas State University

Communication: Key to Management by Objectives
R. Henry Migliore
Oral Roberts University

Toward Effective Corrective Communication
Betty Yantis
University of Nevada, Las Vegas and
Trudy Knox
Capitol University, Columbus

Post-Mortem of an Election
John Todd
University of Arkansas, Fayetteville

Communicating with Area Newcomers
Gerald Crawford
University of North Alabama, Florence

Management Communication with Other Managers
David Bateman
Southern Illinois University

10:00 am COFFEE

10:15 am NEW METHODS, TECHNIQUES, GAMES IN BUSINESS COMMUNICATION

Chairperson: Ridley Gros
Nicholls State University

Speakers:

The Group Process
Xymena Kulsrud
University of Tulsa

Small Group Communication Networks
Otis Baskin
University of Houston, Clear Lake

Conceptualizing Planned vs Unplanned Communication
Jerre Gratz
Pan American University

Word Processing Crosses Traditional Classroom Lines
Ruth Riley
East Texas State University

Message Flow: An Organizational Simulation
Brian Hawkins
University of Texas, San Antonio

12:00 pm LUNCH

2:15 pm CURRENT RESEARCH IN BUSINESS COMMUNICATION

Chairperson: John Pettit
North Texas State University

Speakers:

Effectiveness of Order of Information in Various Business Communication Situations
John Alderson
East Arkansas Community College

An Empirical Look at Communication Aspect of the APB Opinions
Bette Stead
University of Houston

Effects of Moral Judgments on Leadership Style
Phil Lewis and John Williams
Oklahoma State University

Written Business Communication Principles in Mexico
Jack Eure
Southwest Texas State University

PART 1

NON-VERBAL DIMENSIONS OF BUSINESS COMMUNICATION

COMMUNICATING LOUDER THAN WORDS: NON-VERBAL ASPECTS OF BUSINESS COMMUNICATION

W. Jack Duncan, University of Alabama in Birmingham
Fred L. Myrick, University of Alabama in Birmingham

ABSTRACT

This paper discusses the importance of five categories of non-verbal communicative cues (i.e., kinesics, procemics, chronemics, oculesics, and physical appearance) in organizational processes. A model with dimensions for determining congruency between verbal and non-verbal communication cues is suggested and applied to an employee performance evaluation situation.

INTRODUCTION

Communication is the act of giving or exchanging information by means of some media. This process is vitally important among human beings in sustaining the flow and processes of all organizational activities. Because of the high value placed on communication, man is continuously searching for methods of predicting and controlling the flow of information in the communication process. Communication, broadly defined, can be divided into two components: verbal and non-verbal. Much attention has been given to the verbal aspects of communication such as the proper use of words, written media, and so on. Non-verbal communication or "any information perceived by the sexes which is not written or spoken" has become a matter of concern in only recent years.[1] This is true in spite of the fact that Sigmund Freud noted many years ago that: "he that has eyes to see and ears to hear may convince himself that no mortal can keep a secret. If his lips are silent, he chatters with his fingertips; betrayal oozes out at every pore."[2]

For many years communication theorists emphasized the importance of being receiver-oriented. To completely understand and appreciate the nature of this receiver orientation, one must become experienced in recognizing the importance and meaning of non-verbal communicative cues.[3]

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[1] "Listen With Your Eyes," Industry Week, (July 16, 1973), pp. 7-39.

[2] William G. Savage, "Sure, Listen; But Watch Their Gestures, Too," Administrative Management Society Report, (August, 1972), p. 33.

Fortunately, the importance of non-verbal communication is not based upon arguments resulting from mere speculation. It has been estimated, for example, that the average person actually talks for a total of only 10 to 11 minutes per day, and that the average sentence takes only about 2½ seconds to pronounce.[4] Other estimates suggest that words convey only about 30 to 35 percent of all that is meant in the process of communication. The remaining 65 percent of all communication is revealed through body motions.[5] In view of this let us examine this process of non-verbal communication in greater detail.

TYPES OF NON-VERBAL COMMUNICATION

People communicate non-verbally in at least five relatively well defined ways. We shall briefly identify each of these categories below.

1. Kinesics. This type of non-verbal communication involves body movements of all types including facial gestures, hand motions, leg movements, and alterations in body posture.

2. Procemics. This type of communication relates to how close or distant individuals position themselves from one another in the act of communicating.

3. Chronemics. This relates to the degree of silence that exist between verbal exchanges.

4. Oculesics. This relates to aspects of eye contact or eye avoidance that takes place throughout communicative interchange.

5. Physical Appearance. This relates to the way in which people appear to one another with regard to such things as status differential, roles, clothing, and so on.[6]

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[3] J. Brunson, "Perceptual Skills in a Corporate Jungle," Personnel Journal, (January, 1972), pp. 50-53.

[4] Gordon Wiseman, "Classes of Non-Verbal Communication," Speech/Interpersonal Communication, (January, 1974), pp. 230-233.

[5] Savage, loc. cit.

[6] D. M. Ehot, "What Your Employees Non-Verbal Cues Are Telling You," Administrative Management, (August, 1974), pp. 64-65.

To illustrate how each of these categories of non-verbal communication can become important in organizational processes, we shall briefly discuss each one with reference to a specific situation. All of these are likely to be familiar since every person uses one form or the other in all communicative interchange.

Kinesics

Body motions are perhaps the most familiar types of non-verbal communication. Experts in this area have indicated that it is important for us to recognize several things about the nature of body motions. First, each culture tends to have its own style of body language.[7] For example, certain nationalities tend to incorporate more hand movement in the course of regular conversation than others. Second, individual gestures or movements cannot be removed from the context within which they occur. This is true because gestures can, over time, change in their meaning. For example, consider the "V" sign that clearly meant victory during World War II and was associated with Sir Winston Churchill. In the late 1960's, this symbol was more associated with the sign of peace. Today, the same sign, according to the popular press, means vengeance in certain areas of the Third World. Third, body languages should always be verified with regard to what is said by means of the spoken word.[8]

To illustrate a few examples of body movements and their importance in organizational settings, consider the following examples. One writer indicates that an individual leaning back in his or her chair, folding his or her arms and touching the nose as if in deep contemplation are clearly signs of defensive behavior. Gerald I. Neirenburg points out that the defensiveness in folded arms illustrates that there is doubt about the action one should take. Other things, such as claims to territory, as illustrated by the outstretched legs, can also be instrumental in providing insights into a person's inner feelings.[9]

Procemics

The study of the personal space or distance that separates individuals in the process of communication is known as procemics. The space that separates individuals depends a great deal on the nature of the communication interchange. For example, Edward Hall has divided the communication space into four major territories. The first is called the intimate distance. This is a very close form of communication which usually takes place within six inches of the source and the receiver. Such distance is used for top secret talks and the displaying of affection. This intimate territory can be expanded up to eighteen inches or so but usually remains characterized by confidential discussions with speech taking place at the level of a whisper. The second territory is known as personal distance and ranges from 1½ to 2½ feet in the close phase and is reserved for very close relationships. The far phase within this territory is from 2½ to 4 feet and is usually typical of a comfortable distance for individuals talking to friends. The third territory is known as the social distance. At this level the close phase ranges from 4 to 7 feet and is suitable for most business discussions and conversations. For more formal discussions the territory may be expanded up to 12 feet. Finally the fourth territory is known as public distance which ranges from 12 to 25 feet and is the distance used for formal language where one can only see the head and upper trunk of the individual with whom they are communicating. The far phase is more than 25 feet and is usually reserved for public speaking.[10]

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[7] Savage, loc. cit.

[8] "Listen With Your Eyes," loc. cit.

[9] Barry Fisher, "In the Business World Every Body Talks," TWA Ambassador, (May, 1972), pp. 55-58.

Procemics becomes an important type of non-verbal communication for the business setting simply because it determines to a great extent the type of interchange that can take place. Where physical conditions separate individuals the style and type of communication is often determined environmentally.

To provide an example of this type of non-verbal behavior in the organizational setting, consider collective bargaining negotiations. According to one writer, when negotiators are pleased with the progress of the bargaining session, they tend to move closer to the table and to one another. When they are disturbed by the lack of progress, they move away from the table.[11] The same is true of individuals at a party. As a general rule, when they are engaged in an effective interchange they tend to sit close to one another and talk in the personal territory, (1½ - 2½ feet). As things become less personal they move away out to some level such as the social territory or beyond.

Chronemics and Oculesics

Chronemics relates to the extent of the silence between verbal exchanges. This dimension is more difficult to deal with for the average individual. However, eye movements, or what is commonly known as oculesics is something that almost anyone can observe. For example, eye gestures in business are very important. It is said that Chinese jade dealers watch the eyes of buyers for interest in a particular stone because they have observed that the pupils dilate when interest increases.[12] The same type of behavior explains the motivation for the use of the visor by the poker dealer because the movements of his or her eyes may at times give away the cards that are being dealt.

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[10] Ronald L. Applebaum, Human Communications (Harper and Row Publishers, New York, 1973), p. 108.

[11] "Listen With Your Eyes," loc. cit.

As a final example, we should note it has been estimated that the eye moves about 100,000 times in a normal day. Because of this the eyes are one of the most expressive parts of the human body. Eye movements often can give clues to inner emotions. The enlarged pupils of the eyes, for example, has been shown to be an indicator of a favorable response to advertisements.[13] Eye movements can also be important regulators of communication since an individual perceptive with regard to such matters can easily learn just how long or how far to carry a point before the effectiveness of the communication is minimized.

Physical Appearance

The physical appearance of an individual can tell us much about his or her status or role in society and specifically in an organization. Recently the importance of physical appearances has been applied to such things as the job interview situation. A recent report by two Stanford University researchers indicates that physical appearance may be one of the more important factors in determining whether or not the recruiter is favorably inclined toward the interviewee. It was shown, for example, that young men create mildly positive impressions when they wear sport coats, shirts, ties and slacks. The impression is stronger, however, if the individual wears a suit. With regard to women, the wearing of jeans and sandles can create impressions that range from mildly to strongly negative. Failure to maintain eye contact with the recruiter, using speech that is loaded with jargon, and similar behavior can also result in negative impressions.[14]

Recently, an interesting study was conducted on the clothing choices of successful and aspiring male college administrators. It was noted, for example, based on the sample information reported, that the presidents of colleges and universities generally wear medium shade solid blue or grey two button suits with medium width lapels. Trouser legs of the suit are generally straight rather than flared and long sleeved shirts are regularly worn. The shirts generally are solid white and are accompanied by a striped tie that is coordinated with the suit. On the other hand, the lower level administrators seem to prefer double knit sport coats of either a solid or plaid pattern as well as trousers that are flared and uncuffed. Dress shirts tend to be short sleeved and are often pastel colors other than white. Ties are fairly evenly distributed of a variety of patterns. The point is, that physical appearance by means of clothing or other dimensions do in fact present the stereotype of individuals in various positions.[15]

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[12] Stewart L. Tubbs, Human Communication: An Interpersonal Perspective, Random House, New York, 1974, pp. 141-172.

[13] Albert S. King, "Pupil Size, Eye Direction, and Message Appeal: Some Preliminary Findings," Journal of Marketing, (July, 1972), p. 57.

[14] "How to Get a Job," Parade, (November 9, 1975), p. 12.

Thus, it becomes evident that there are a number of important dimensions of non-verbal communication. The important question now becomes what relationship do these bear to the verbal dimension and how are they important in the everyday organizational situation.

DIMENSIONAL CONGRUENCY

Perhaps the most important thing perceptive communicators receive from the analysis of non-verbal communication is an indication of how well the spoken word really measures up to actions of the individual. An important term in the non-verbal communication jargon has become known as the "kinesic slip". In this case we find an example of an obvious incongruency between what is actually said and a person's actions. For example a person might say that they enjoy a particular type of foreign food. At the same time the gestures of the facial expressions may indicate that the food is less than desirable.[16] By the same token, an individual who may appear outwardly as very confident in both the spoken word and physical appearance may display a handshake which is not congruent at all with the overall appearance. This is often true of the typical "dead fish" handshaker who displays a great deal of uncertainty and insecurity internally. Thus, the first level of congruency relates to the consistency of the spoken word and the reinforcing or conflicting non-verbal behavior.

The second level of congruency is among various dimensions of meaning. A few of the selected dimensions is illustrated in Figure 1. The first relates to the evaluative dimension or feelings of approval or disapproval. Rows one and two of the exhibit contain the types of observations one might expect with regard to the various forms of non-verbal behavior. One can quickly scan the first row, for example, and derive a profile of the person displaying approval via non-verbal acts.

The second dimension of meaning (potency) relates to the intensity of the acceptance or rejection. Risk is included to illustrate the degree of confidence or uncertainty an individual displays in a communicative situation. Finally, security indicates the clarity or ambiguity experienced by each party involved in the information

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[15] Edgar T. Bush, "Clothing Choices of Successful and of Aspiring College Administrators," Proceedings, Southeastern American Institute of Decision Sciences, 1976, pp. 239-240.

[16] Wiseman, loc. cit.

FIGURE 1

SUMMARY OF SELECTED
NON-VERBAL CUES

Dimension of Meaning		Kinesics	Procemics	Chronemics	Oculesics	Physical Appearance
Evaluation	Approval	Adjusting tie or stockings, tilted head.	Closing in on source and/or receiver.	Smooth interchange.	Relaxed, open, eye contact.	Outstretched hands.
	Disapproval	Frown, legs crossed, back straight, head erect.	Movement away.	Interruption and overlap.	Stern, direct.	Clenched fists.
Potency	Acceptance	Legs and arms open, body reclined and tilted.	Close and direct.	Courteous.	Direct contact.	Loosely clasped hands.
	Rejection	Folded arms, foot on desk.	Distant and oblique.	Periods of silence.	Indirect and opposite.	Folded arms.
Risk	Confidence	Leg over arm of chair, hands behind head.	Intermediate separation.	Rapid follow-up, short breaks.	Direct contact, dilating pupil.	Finger tips together and highly steepled.
	Uncertainty	Touching nose, limp handshake.	Removal or withdrawal.	Varying unpredictable intervals.	Downward cast.	Edgy or impatient.
Security	Clarity	Straight posture.	Observance of social territory.	Direct, open.	Relaxed, even, eye contact.	Buttoned coat, straight posture.
	Ambiguity	Straightening clothes, fixing hair.	Closing for clarity.	Silence with uneasy expression.	Tension or squinting.	Rigid posture.

exchange. Moving down the columns, one can determine the congruency among the dimensions of meaning. We can now construct an additional profile to determine the congruency among the meaning dimensions.[17]

AN APPLICATION

In a performance evaluation situation, the non-verbal cues may be especially useful in gaining control over the communicative environment. Managers and supervisors continually voice discontentment and insecurity with respect to the appraisal process. As a result, techniques such as management by objectives have been developed to, among other things, reduce the threat of performance evaluation.

Most participative management systems suggest the use of some initial period of goal setting where employees and supervisors mutually agree on performance standards (goals). This presents an excellent opportunity to "size up" the individual, from a non-verbal perspective, so as to better deal with the ultimate appraisal session. Of course, personnel files and similar records should be consulted prior to the goal setting conference to obtain as much information as possible with regard to the employee's past performance, etc. This provides additional data upon which to evaluate the non-verbal behavior observed. The process is illustrated in Figure 2.

The manager who systematically uses all opportunities to gather data on both the verbal and non-verbal aspects of employee behavior will be in a position to reduce substantially the insecurity of appraisal conferences. The same is true in related areas such as sales contacts, problem-solving sessions, and so on.

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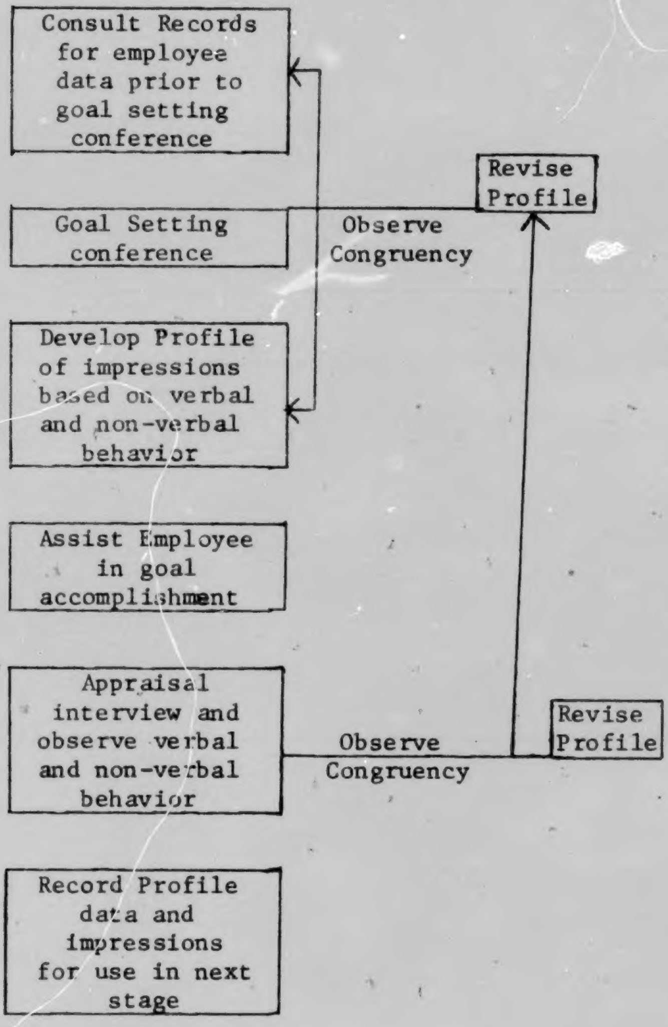
[17] "How Well Do You Read Body Language?," Sales Management, (December 15, 1970), p. 28.

FIGURE 2

NON-VERBAL COMMUNICATION AND PERFORMANCE REVIEW: AN APPLICATION


Consult Records for employee data prior to goal setting conference
Goal Setting conference
Observe Congruency
Revise Profile
Develop Profile of impressions based on verbal and non-verbal behavior
Assist Employee in goal accomplishment
Appraisal interview and observe verbal and non-verbal behavior
Observe Congruency
Revise Profile
Record Profile data and impressions for use in next stage

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King, Albert S., "Pupil Size, Eye Direction, and Message Appeal: Some Preliminary Findings," Journal of Marketing, (July, 1972), p. 57.

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Wiseman, Gordon, "Classes of Non-Verbal Communication," Speech/Interpersonal Communication, (January, 1974), pp. 230-233.

FOUR PROBLEMS RELATING TO AWARENESS OF METACOMMUNICATION IN BUSINESS CORRESPONDENCE

Marlin C. Young, Stephen F. Austin State University

ABSTRACT

The evidence supports the premise that along with the verbal message conveyed in the business letter there is often metacommunication, nonverbal and unseen, a phantom intelligence transmitted by the writer to the reader. The study of metacommunication as it relates to business correspondence is in its infancy and the concern of this study was to add to the knowledge of the subject by seeking answers to four questions.

INTRODUCTION

Often an additional message, although not expressed in words, is transmitted along with the message that is expressed in words. Such unworded messages are called "metacommunication." These may reinforce the meaning of the message, or they may distract from the message, or they may even contradict what the message seems to mean. For example, when a person says, "Don't worry about me," he may also convey the message "Keep an eye on me." Or when a person says, "I'll do my best," he may also convey the message "I'm a little apprehensive about my ability."

Obviously, metacommunication is of importance in business correspondence where frequently the writer conveys an additional message. Whether people actually think with words, their intake of others' meaning rests upon the words or writing techniques they use. People need a clear awareness of how writing techniques cause reaction so that the techniques' implications may be examined. This study attempted to add to the knowledge of the awareness of metacommunication in business correspondence by seeking to answer the following four questions:

1. Of the three organizations, which has greater awareness of metacommunication: members of Sales and Marketing Executives Association, members of American Society for Training and Development, or members of National Secretaries Association?

2. Which type of instrument is more suitable for measuring the extent of metacommunication awareness?

3. Which type of writing technique is most likely to cause metacommunication?

4. For certain worded messages, what specific metacommunication is transmitted?

PROCEDURES

The method utilized in determining the awareness of metacommunications that appear in business correspondence consisted of an eight-page mail questionnaire in two forms, closed and open, which surveyed a population of 458 members from the three organizations previously cited. Eighteen questions were asked about respondents' awareness of metacommunication that appeared in six business letters. Spearman's rank-difference correlation or rho was used to compute the coefficient of reliability. Seven business communication faculty members evaluated the instrument for face and content analysis. Of the questionnaires mailed, 48.5 per cent were returned; 46.5 per cent were usable.

FINDINGS

The statistical treatment of the data revealed that: (1) the National Secretaries Association's score was significantly higher than the score of the American Society for Training Development. It was also higher than the score for the Sales and Marketing Executives Association. The mean and standard deviation of the respondents of each one of the three organizations are given in Table 1. The means were computed from the number of respondents who indicated an awareness of metacommunication by a "yes" score and an additional message on both questionnaire forms;

Table 1

Summary of the Number, Means, and Standard Deviation of Respondents of the Three Professional Business Organizations

Organization	Number of Respondents	Mean Per Respondents	Standard Deviation
American Society for Training Development	109	14.24	3.84
National Secretaries Association	55	15.91	2.41
Sales and Marketing Executives	49	14.57	3.40

(2) the questionnaire Form A achieved a higher mean score than the questionnaire Form B. The mean and standard deviation were computed for each questionnaire form. The results of the computation are shown in Table 2. The number of respondents who indicated an awareness of metacommunication by a "yes" score and an additional message was used in the computation to compare Form A with Form B; (3) the grammatical usage induced more awareness of metacommunication than any other techniques. In Table 3 are given the means and ranks for the writing techniques. Each of the nine techniques was included twice on the questionnaire forms, and the range of scores was from zero to two. The mean is an indicator of how often a technique was detected by a "yes" score and an additional message; and

Table 2

Summary of the Means and Standard Deviation for Form A and Form B of the Three Professional Business Organizations

Form	Number of Respondents	Mean of Forms	Standard Deviation
A	127	15.26	3.27
B	86	13.99	3.65

Table 3

Summary of the Means and Rank for Writing Techniques Most Likely to Cause Metacommunications

Writing Technique	Mean Per Technique	Rank
Grammatical Usage	1.7136	1
Euphemism	1.7042	2
Split Infinitive	1.6948	3
Superlative	1.6761	4
Spelling	1.6667	5
Vocabulary	1.6432	6
Phatic Communication	1.5822	7
Trite Expression	1.5446	8
Exclamation Point	1.5211	9

(4) the metacommunication most commonly received by the respondents on questionnaire Form B were different from the metacommunication received by the respondents on questionnaire Form A in six of the nine writing techniques. In Table 4 are given the results from 212 respondents of the most common metacommunication that were received from certain worded messages, including nine writing techniques on questionnaire Form A and Form B. The messages most commonly received by the 86 respondents on Form B were different from the messages received by the 126 respondents on Form A for six of the nine techniques. The largest per cent of the 86 respondents for questionnaire Form B were conveying a reaction to other parts of the correspondence rather than receiving an additional writer's message in answer to the eighteen questions about an awareness to the various techniques.

CONCLUSIONS

Obviously, metacommunication changes the verbal message and the writer of the business letter must be aware of the hidden message in order to achieve the desired response in the reader. Based on the preceding findings, the following conclusions may be reached:

1. Members of the National Secretaries Association appear to be more aware of metacommunication than are the members of the American Society for Training and Development or the members of the Sales and Marketing Executives Association. Perhaps the reason for this is that the skills required for secretaries are keyed toward careful attention to the details of writing techniques.

2. The closed questionnaire, Form A, is more suitable for measuring the extent of metacommunication awareness than is the open questionnaire, Form B. Perhaps the reason for this is that the respondent made a check mark to indicate his awareness to metacommunication, whereas in Form B the respondent had to compose the metacommunication.

3. Since grammatical errors appear to cause more awareness of metacommunication than any other writing technique, then it is reasonable to state that proper grammatical usage in the business letter is essential if the writer wants to avoid the type of metacommunication which might very well cause misinterpretation and distraction of the verbal message.

4. For certain worded messages, a variety of specific metacommunication is conveyed when the messages related to respect, timeliness, and education. The types of metacommunication are too varied to categorize. Furthermore, the frequency analysis indicated that in the case of certain worded messages relating to six of the nine writing techniques the metacommunication most commonly received by the respondents on questionnaire Form B were different from the metacommunication received by the respondents on questionnaire Form A.

Table 4

The Most Common Metacommunication Received from Certain Worded Messages Including Nine Writing Techniques on Form A and Form B

Certain Worded Messages Including Nine Writing Techniques	Most Common Metacommunication-Form A	Most Common Metacommunication-Form B
Euphemism		
"Most important, we are proud to say we have well-trained *hair stylists* in the salon."	"By calling him a hair stylist instead of a barber, I hope to increase the work he does."	"By calling him a hair stylist instead of a barber, I hope to increase the work he does."
"Your account has been given to me for final handling--that is, referral to *counsel* or a *financial adjustment bureau*."	"I want to keep a negative thought from sounding unnecessarily brutal."	"I am not very good in choosing words directly expressing anything disagreeable."
Exclamation Point		
"Isn't it great we are now open!"	"I want to whip up enthusiasm in the reader."	"We're excited about it and hope you are too."
"Don't wait. Mail the check now!"	"I do not have the time, but the exclamation point will reveal that I view this sentence with strong feeling."	"I do not have the time, but the exclamation point will reveal that I view this sentence with strong feeling."
Grammatical Usage		
"*There are* always a possibility that we will reinstate such a publication, but at the moment I can't say when."	"I am not very good at making nouns and verbs agree."	"The possibility is very remote for reinstatement."
"Your first and second request directed to Mr. Fred Jones, Executive Vice President of our bank, to complete your questionnaire about delegating writing assignments *was* both turned over to me."	"I never learned definitely whether a compound subject joined by and would use a singular or a plural verb."	"Quit bothering Mr. Jones. He delegates unimportant writing assignments to me."

Table 4 (continued)

Certain Worded Messages Including Nine Writing Techniques	Most Common Metacommunication-Form A	Most Common Metacommunication-Form B
Phatic Communication		
"Have a nice day."	"I do not have the time to think of a better close."	"I respect you and I am friendly."
"It was good to hear from you."	"We are pleased to learn of your interest."	No message
Spelling		
"This *sould* reflect on your March statement."	"I do not take the time to proofread my letters."	"I am not sure if this will be credited on your March statement."
"I *agre*."	"My busy schedule does not permit such trivial matter as checking the spelling of each word."	"I must think, act, and speak as my boss . . . or else!"
Split Infinitive		
"Please arrange *to as soon as possible call* --phone 838-7953."	"My reader is interested only in personal appearance and not in the grammatical construction."	"We're exclusive--call for an appointment."
"I'll just have *to completely pass* this one."	"Since my time is so valuable, I should not bother to correct minor violations of grammatical construction."	"I just do not want to be bothered."
Superlative		
"It was the *best* money could buy for many years."	"It was the best at one time, but recently quality seems to have diminished."	"Your radio is old and thus beyond repair."
"Hope you enjoy it for it is the *most* effective in print."	"I want to bluff the reader into thinking this is true."	"Our product is better than any other on the current market."

Table 4 (continued)

Certain Worded Messages Including Nine Writing Techniques	Most Common Metacommunication-Form A	Most Common Metacommunication-Form B
Trite Expression		
"*Let me make this crystal clear*, we do appreciate your interest in our firm and taking the time to visit with us."	"You are interested in employment, but the company is not interested in you."	"We hope you won't hold negative feelings about us for taking up your time."
"*If we can help you in any other way, please let us know.*"	"You're nothing special to me; I use the same courteous close for all my letters."	No message
Vocabulary		
"Based upon this review, John, I am sorry to tell you that we have concluded we cannot *elongate* an offer to you."	"I do not understand the word choice, but I want to sound well-educated."	"We can't extend an offer of employment."
"My policy is to try to resolve such matters *amicably*."	"I care for you and want to avoid any unnecessary action."	"I care for you and want to avoid any unnecessary action."

Everyone should be aware of metacommunication and how it can play a vital part in shaping the written message. All too often the written message is framed with no thought given to the unseen message. The additional message and the written message should work together, each drawing on its strengths to complement the other and multiply the total impact. Written messages can be improved and made to be more effective all around if a person will develop a feeling and an appreciation for metacommunication.

PERCEPTIONS OF GROUP LEADER'S ATTITUDES TOWARD "SELF" AND "OTHERS": A STUDY IN NONVERBAL FACIAL COMMUNICATIVE BEHAVIOR

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ABSTRACT

This paper explores the importance of nonverbal facial communications in encounters between group leaders and group members. Two levels of inquiry were employed: a "self-rating," to determine each member's perception of the group leader's behavior toward him, and the "other-rating," to determine each group member's perception of the group leader's behavior toward his fellow group members. Responses from a modified semantic differential were converted to normal equivalents and used as input data for use in the analysis of variance prodedure. The paper offers a discussion of the findings of this experiment with regard to each group member's ability to perceive the leader's nonverbal facial communications toward him and toward other group members.

INTRODUCTION

Research evidence indicates that managers spend between seventy-five and ninety percent of their workday engaged in verbal communication--that is, listening, talking, reading, and writing.[1] Moreover, if the thought process is viewed as intra-personal communication, then it is not an exaggeration to claim that managers do little else but communicate. Burns, for example, observed a sample of supervisory personnel and reported that they spent eighty percent of their total workday either initiating or receiving oral communications. The remainder of their workday was spent--for the most part--in writing or reading letters, memoranda, and reports.[2]

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[1] Fred J. Carvell, Human Relations in Business, Macmillan Co., New York, 1970, p. 285; see also M. Joseph Dooher and Vivienne Marquis, Effective Communication on the Job, American Management Association, New York, 1956, p. 13; William V. Haney, Communication and Organizational Behavior, 3rd ed., Richard D. Irwin, Inc., Homewood, Illinois, 1973, p. 4; Lee O. Thayer, Administrative Communication, Richard D. Irwin, Inc., Homewood, Illinois, 1961, p. 3.

[2] Tom Burns, "The Directions of Activity and Communication in a Departmental Executive Group," Human Relations, Vol. 1 (1954), p. 78.

Essentially, then, communication is a necessary and vital aspect of a manager's job.

Communication Is More Than Words

Communication involves the consideration of factors other than just oral and/or written messages. Verbal language is only one of the codes available to humans for the expression of ideas. Studies have revealed that both ideas and attitudes can be effectively communicated by mediums other than language. Communication may be conveniently divided into two aspects, verbal and nonverbal. The verbal aspect usually relies on a system of symbols (words) to convey its message. Thus, such verbal communicative behavior as listening, talking, reading, and writing all use a system of symbols or a language to effect communication.

Nonverbal Communication

Nonverbal communication is not so versatile as verbal communication, nor is it so easily defined. Emmert and Brooks, for example, have classified and defined eighteen distinct areas of nonverbal communication ranging from animal and insect communication to personal grooming and apparel.[3] Ruesch and Kees restrict their coverage of nonverbal communication to three categories: sign language, action language, and object language.[4]

What is often overlooked in the discussion of management communication is the role played by nonverbal communication. The verbal part of a communication message (the words spoken) can often be supplemented, emphasized, modified, or completely contradicted by the speaker's vocal and/or gestural nonverbal communicative behavior. Albert Mehrabian, a psychologist, has devised an equation which emphasizes the various aspects of communication. He considers face-to-face communication to be composed of verbal, vocal, and facial communication messages. His research has indicated that the "Total Impact of a Communication Message is equal to .07 verbal + .38 vocal + .55 facial."[5] In other words, "what is said" is much less important than "how it is said," which, in turn, is less important than the "facial expression" of the speaker.

Although writers in the area of management have declared the importance of communication, they have generally concentrated their research efforts on exploring the verbal component. Most of the literature available deals with improving verbal communications or the establishment of a communications system. If one considers Mehrabian's "total impact" equation a reasonable approximation of communicative reality, then it would appear that the literature of business and management has all but ignored ninety-three percent of the communicative process. Research in the verbal area is necessary and important if communications are to be improved; however, research should not be restricted to the verbal component alone.

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[3] Phillip Emmert and William D. Brooks, Methods of Research in Communication, Houghton Mifflin Co., Boston, 1970, pp. 345-353.

[4] Jurgan Ruesch and Weldon Kees, Nonverbal Communications: Notes on the Visual Perception of Human Relations, University of California Press, Berkeley, 1956, p. 20.

[5] Albert Mehrabian, "Communication Without Words," Psychology Today, Vol. 4 (1968), p. 53.

PURPOSE OF THE STUDY

This study was concerned with the effect of selected nonverbal communicative behavior within a small group setting. It was an attempt to explore further the importance and significance of facial expression as a nonverbal means of communication. The primary purpose of this study was to determine the effect of a group leader's programmed nonverbal facial expressions upon the group members' perception of the leader's attitude toward the group members. Specifically, this study was designed to explore the following research questions:

(1) Will subjects who receive "positive nonverbal facial communications" from a group leader have a significantly different perception of the group leader's attitude toward them than subjects who receive "negative nonverbal facial communications" from the group leader?[6]

(2) Will subjects within the same decision-making group be able to correctly perceive the group leader's programmed facial expressions toward other members of the same group?

METHOD OF RESEARCH

This study utilized one of management's preferred vehicles for sharing information--the committee process. Selection and utilization of a committee communication setting was chosen in an attempt to approximate a real-world situation. Four classes of the Principles of Management course, all under the same instructor, at the University of Arkansas, were chosen for use in the experiment. As part of their course requirements, students, in groups of five, operated a hypothetical business firm through a computerized simulation exercise. Once a week, the students were given class time to discuss the results of their prior week's decision and to make the various decisions affecting the internal operation of their firms for the next simulation.

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[6] A "positive nonverbal facial communication" was defined as a "smile" or "pleasant facial expression" as opposed to a "negative nonverbal facial communication" which was defined as a "frown" or "unpleasant facial expression."

The investigator randomly assigned students to groups within each class. After the groups had operated their hypothetical business for five weeks (real time) the investigator administered a test to determine if a single student had emerged as the recognized leader in each group. Following the evaluation of this test, a pre-test was administered to all group members with the exception of the recognized group leader. Utilizing a sixteen scale modified semantic differential, subjects were asked to scale their perception of the group leader's behavior toward themselves, as well as their perception of the leader's behavior toward the other members of their group. Immediately after the results of the pre-test were compiled, the investigator secretly contacted the various group leaders and solicited their cooperation in the experiment.

Within each group the following labels were assigned to the remaining subjects by the investigator: Smile Recipient (SR), Frown Recipient (FR), Control Recipient (CR), and Observer (O). The SR's and FR's, of course, were scheduled to receive a specific programmed nonverbal facial behavior from the group leader. Specifically, the group leader was to listen with a "pleasant" facial expression (smile) each time the SR addressed the leader during the decision-making session in class. Each time the FR addressed the leader the latter was to exhibit an "unpleasant" facial expression (frown). No deliberate pattern of facial behavior was to be exhibited toward the Control Recipient. The Observer served as a confederate in the experiment. Following a two-week training (or programming) period, the leaders began introducing the experimental variables (i.e., smile and frown) during the decision-making sessions.

Utilizing a variable testing procedure and the same testing vehicle, post-tests were administered under the same conditions as the pre-test. Subjects' responses from the modified semantic differential were converted to normal equivalents (NE)[7] and a composite score for each subject obtained by summing across the sixteen-item scale. Input data for use in the analysis of variance procedure was obtained by taking the difference between NE (post-test) and NE (pre-test) for each subject's composite score. The two factors analyzed were conditions (C) and treatments (T). In considering the first research question (self-ratings), the condition (C) factor had four levels, and the treatment (T) factor had three levels, thus a 4 condition x 3 treatment factorial experiment with four replications was utilized for a total of forty-eight observations. Due to a practical restriction on randomization, a split-plot design was utilized.[8] Following the two-way ANOVA test, those factors with significant F values were subjected to a further test of significance utilizing the Duncan Multiple Range test.[9]

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[7] Ronald A. Fisher and Frank Yates, Statistical Tables for Biological, Agricultural, and Medical Research, 4th ed., Hafner Publishing Co., New York, 1953, p. 75.

[8] Charles R. Hicks, Fundamental Concepts in the Design of Experiments, Holt, Rinehart and Winston, New York, 1964, pp. 190-200.

[9] Ibid., pp. 31-33.

FINDINGS

Self-Rating

The first area explored dealt with determining the effect of the leader's programmed nonverbal facial expression upon a member's perception of the leader's attitude. For statistical testing purposes the null hypothesis was as follows:

> There is no significant difference between the three levels of the treatment (T) factor.

To test this hypothesis, a two-way analysis of variance test utilizing treatments (T) as one factor and conditions (C) as the second facfor was used as the primary test of significance. The treatment (T) factor had three levels coded for identification purposes as follows:

SR = Smile Recipient's perception of the leader's attitude toward himself.
FR = Frown Recipient's perception of the leader's attitude toward himself.
CR = Control Recipient's perception of the leader's attitude toward himself.

The second factor, conditions (C), had four levels coded for identification purposes as follows:

C-1 = The experimental variable was introduced for one decision-making session and a post-test followed immediately.
C-2 = The experimental variable was introduced for two decision-making sessions and a post-test followed the second session.
C-3 = The experimental variable was introduced for three decision-making sessions and a post-test followed the third session.
C-4 = The experimental variable was introduced for four decision-making sessions and a post-test followed the fourth session.

Table 1 presents the analysis of variance (ANOVA) for the "self-rating" test.

TABLE 1

ANOVA TABLE FOR THE SELF-RATING TEST

Source of Variation	df	SS	MS	F
Conditions (C)	3	109.3849	36.4616	2.16
Leaders Within Condition	12	202.0872	16.8406	
Treatments (T)	2	435.6121	217.8061	14.01**
Interaction (T)x(C)	6	59.2811	9.8802	.64
Leaders Within Condition x Treatment	24	373.0592	15.5441	

**P≤.001

From the analysis of variance (ANOVA) test, the F-test value indicated a significant difference among the three levels of the treatment (T) factor at the .001 level of significance. In other words, the means of the Smile Recipients (SR), Frown Recipients (FR), and Control Recipients (CR) were significantly different. An additional test of significance between the means of the SR's and FR's utilizing a one-tail t-test indicated that the mean of the SR's was significantly more positive than the mean of the FR's (t=5.16; 28df; level of significance=.001).

Other-Rating

The second area of interest dealt with ascertaining group members' ability to correctly perceive the leader's programmed facial behavior toward other members of the same group. For statistical testing purposes, the null hypothesis was as follows:

> There is no significant difference between the six levels of the treatment (T) factor.

To test this hypothesis, a two-way analysis of a variance test utilizing treatments (T) as one factor and conditions (C) as the second factor was used as the primary test of significance. The treatment factor had six levels coded for identification purposes as follows:

SF = Smile Recipient's perception of the leader's behavior toward the Frown Recipient.
SC = Smile Recipient's perception of the leader's behavior toward the Control Recipient.
FS = Frown Recipient's perception of the leader's behavior toward the Smile Recipient.
FC = Frown Recipient's perception of the leader's behavior toward the Control Recipient.
CS = Control Recipient's perception of the leader's behavior toward the Smile Recipient.
CF = Control Recipient's perception of the leader's behavior toward the Frown Recipient.

The second factor, conditions (C), had four levels and was the same as that described earlier. Four groups of the experiment were run for each condition, thus a total of ninety-six observations were obtained. Table 2 presents the analysis of variance (ANOVA) for the "other-rating" test.

TABLE 2

ANOVA TABLE FOR THE OTHER-RATING TEST

Source of Variation	df	SS	MS	F
Conditions (C)	3	89.2803	29.7601	.52
Leaders Within Condition	12	688.1949	57.3496	
Treatments (T)	5	345.7125	69.1425	4.91**
Interaction (T)x(C)	15	351.3007	23.4200	1.66
Leaders Within Condition x Treatment	60	844.5565	14.0759	

**P≤.001

From the ANOVA test, the F-test value indicated a significant difference among the six levels of the treatment factor at the .001 level. In other words, the means of the SF's, SC's, FS's, FC's, CS's, and CF's were significantly different.

It was hypothesized that, if subjects were able to correctly identify the programmed nonverbal facial behavior of the leader toward other members of the same group, no significant difference would exist between the following comparisons:

CS versus FS - This represents a comparison between the Control Recipient's perception of the leader's behavior toward the Smile Recipient and the Frown Recipient's perception of the leader's behavior toward the Smile Recipient.

SF versus CF - This represents a comparison between the Smile Recipient's perception of the leader's behavior toward the Frown Recipient and the Control Recipient's perception of the leader's behavior toward the Frown Recipient.

TABLE 3

DUNCAN MULTIPLE RANGE TEST FOR SELECTED COMPARISONS

Comparison	Range	LSR[+]
CS versus FS	2.68	2.94
SF versus CF	1.50	2.89

[+] LSR = Least Significant Range (@ .05)

As indicated by Table 3, these comparisons were not significant at the .05 level of significance. In other words, the differences in means of the CS versus FS and SF versus CF were not statistically significant. On the other hand, a SC versus FC comparison produced a range of 5.76 which was statistically significant at the .01 level.

DISCUSSION OF FINDINGS

Based on the results obtained via statistical testing, the following experimental conclusions were drawn. Subjects who received positive nonverbal facial communications from the group leaders had a more favorable perception of the leader's attitude toward themselves than did subjects who received negative nonverbal facial communications from the group leaders.

Secondly, subjects within the same decision-making group were able to correctly perceive the group leader's programmed facial expression toward other members of the same group.

Because the experimental variable (i.e., the leader's programmed smile or frown) was the only controllable variable purposefully introduced between the pre- and post-test, it seemed plausible to assign the role of causal agent to it. On the strength of reasonableness, therefore, it was concluded that the leader's programmed smile and frown exerted a measurable influence on the group member's perception of the leader's attitude.

Findings of the current study conceivably lend themselves to the following generalizations. First, it appears that a group leader's programmed nonverbal communicative facial behavior while in the process of receiving information in a decision-making session (i.e., listening) is clearly discernible by group members. Whether this recognition by group members was a conscious one or not was not specifically tested, but there is some indication that perhaps the recognition occurred on a less than conscious level.[10]

Secondly, within the context of the group decision-making unit, it appears that a group leader's programmed nonverbal facial behavior has an influence on the group member's perception of the leader's attitude. The evidence indicated on a pre-test/post-test comparison basis that a group member's perception could be influenced and indeed altered by the programmed nonverbal facial behavior of the group leader. In other words, it appears that a group leader's programmed smile influenced the recipient's perception of the leader's attitude in a positive or favorable manner. In addition, it appears that a group leader's programmed frown influenced the recipient's perception of the leader's attitude in a negative or unfavorable manner.

In general, it appears that members within a decision-making group are aware of the facial behavior of the group leader toward other members of the group. Specifically, it appears that if the leader's facial behavior is consistent (i.e., programmed) group members will correctly recognize it.

For non-programmed facial behavior such as that exhibited toward the Control Recipient, however, members differed significantly in their perception of the leader's behavior. Specifically, it appears that group members showed a tendency to project their own perception of the leader's attitude toward themselves. For instance, the evidence suggests that the Smile Recipient perceived the leader as exhibiting a favorable attitude toward the Control Recipient, while the Frown Recipient perceived the leader as exhibiting an unfavorable attitude toward the Control Recipient. In reality, of course, the leader may have exhibited neither or both.

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[10] After the experiment was completed, subjects were informed by the investigator of the true nature of the experiment. Follow-up interviews with a sample of the group leaders indicated that individual group members were eager to know whether they had served as the SR, FR, or CR.

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PART 2

INTRA & INTERPERSONAL COMMUNICATION IN THE BUSINESS WORLD

TOWARD EFFECTIVE CORRECTIVE COMMUNICATION

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ABSTRACT

Managers and supervisors in all organizations are faced with the necessity of having to evaluate, correct and discipline subordinates. This type of communication, according to participants in management development seminars, is frequently unpleasant and also ineffective.

Follow up reports from these participants indicated that after learning and using the problem solving approach in a corrective interview, that they were more effective in accomplishing their objectives and that both they and their employees were more emotionally comfortable during the communication process. This procedure was also found to be effective in upward communication.

The interview procedure combines the basic steps of problem solving with Transactional Analysis Theory of ego states. The problem solving format requires a clear, factual description of the problem, a consideration of alternative solutions, an action agreement and follow-up procedures. Ego state theory is effective in recognizing and minimizing the destructive emotional content of the communication process.

The methodology used for teaching this technique, in both management seminars and classrooms, was role playing. Follow up reports indicated that this interview technique was a valuable management tool in a variety of situations. The authors have also found it to be extremely effective in communicating with students relative to grades, class attendance, academic standards and other problem areas.

INTRODUCTION

"Usually the resolution of conflict leaves a legacy which will affect the future relations of the parties and their attitudes about each other."[1] It is because of this residual effect that the positive resolution of interpersonal conflict becomes important to not only the individuals involved, but to the efficient functioning of the organization. The corrective or disciplinary interview is a communication situation where the potential for a negative resolution is especially high.

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[1] Alan C. Filley, Interpersonal Conflict Resolution (Glenview, Illinois: Scott, Foresman and Co., 1975),pp17

Managers and supervisors in all organizations are faced with the necessity of having to correct and discipline subordinates. According to participants in management development seminars, this type of communication is frequently unpleasant and also ineffective.

Because this type of communication is not only necessary, but can also be a factor in the growth and effectiveness of employees, it would appear that competence in this type of communication would benefit both the superior and the subordinate. The technique described below was designed to aid the manager in correctional, disciplinary and appraisal interviews. Feedback from management seminar participants indicates that the technique is effective in both upward and downward communication in a variety of situations.

CONFLICT RESOLUTION

Filley groups conflict resolution stratagies into three broad categories - win-lose methods, lose-lose methods and win-win methods.[2] In his summary of the characteristics of the win-lose and lose-lose methods it is interesting to note that the focus of these methods is on the person or persons involved rather than on the problem being addressed.

On the other hand, the problem-solving, win-win strategy focuses on the creation of a climate and a process whereby goals of both parties may be effectively achieved.

The superiority of the confronting problem-solving approach has been well documented.[3] The technique described below is an application of win-win conflict resolution in a specific type of situation.

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[2] Ibid, pp 21-30.

[3] P.R. Lawrence and J.W. Lorsch, "Differentiation and Integration in Complex Organizations," Administrative Science Quarterly, 12 (1967), 1-47 and Ronald J. Burke, "Methods of Resolving Superior-Subordinate Conflict: The Constructive use of Subordinate differences and Disagreements", Organizational Behavior and Human Performance, 5 (1970), 393-411.

OBJECTIVE

"It's my fault. Again. Always is. Ever will be. World without end."[4]

Harris uses these words to describe the feelings of the little person as he goes through the civilizing process of growing up. These feelings develop early in the child and are reinforced throughout his life as his behavior is "corrected" by significant adult people in his environment. These negative feelings about a "corrective situation" tend to surface throughout life; therefore, the situation itself tends to evoke negative emotions.

The objective of the technique described below is to help the manager affect behavioral and attitudinal changes by using Transactional Analysis Theory to recognize (1) that these Child ego feelings do exist; (2) that they are inappropriate and counterproductive in a problem solving situation; (3) that a critical Parent to Child relationship with an employee evokes negative feelings and responses; and (4) that the Adult ego state solves problems.[5]

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[4] Thomas A. Harris, I'm OK - You're OK (New York: Avon Books, 1973), p 48.

[5] Transactional Analysis theories are widely published, and will not be discussed in this paper. Suggested references include: Eric Berne, The Structure and Dynamics of Organizations and Groups (New York: Grove Press, Inc. 1963); Dorothy Jongeward and contributors, Everybody Wins: Transactional Analysis Applied to Organizations (Menlo Park, California: Addison-Wesley Publishing Company, 1973); Jut Meininger, Success Through Transactional Analysis (New York: Grosset and Dunlap, 1973).

METHODOLOGY

This technique was used in a series of management seminars, conducted through the Graduate School of Administration of Capitol University in Columbus, Ohio, in the spring and summer of 1975, as well as in private consulting situations.

Ego States

The participants, in all situations, were middle to upper level managers in business or government. Transactional Analysis (TA) theories of ego states and time structuring were presented the first day of the seminar.

The objective was for the participants to gain sufficient self-awareness to be able to recognize the ego state in which they and others were operating in a given situation. This was accomplished by having participants analyze cases, share personal examples of ego state identification and participate in role playing. In the role plays the counterproductive emotions of the Parent and Child ego states were illustrated and the problem solving ability of the Adult ego state was emphasized.

The Interview

Throughout the seminars, problem solving was stressed. It was pointed out that an interview for corrective, disciplinary or evaluative reasons was, essentially, just another problem solving situation for a manager, and when viewed in that light, could and should be handled in an objective manner without needless negative emotional content.

I. Present the Problem

A. "I want to talk to you about..." Preparation on the part of the supervisor is essential. The collection of factual information about dates, problem behavior and sources of information are necessary for an effective interview. A straight approach in setting up the interview prevents unnecessary anxiety and unfounded expectations. A straight communication would be "I want to talk to you in my office today at 4:00 pm about your last report." This provides information to the Adult ego state and reduces confusion and anxiety in the Child ego state.

B. "There are some things you do well..." A positive atmosphere or tone can be conducive to problem-solving communication. Starting the interview with a good stroke can calm an anxious Child ego state so that the

Adult ego state can function. Too many good strokes at this point can mislead the employee about the purpose of the interview. This was frequently noted in role playing and the communication shifted out of the Adult ego state.

C. "It seems that you and I have a problem." Problem behavior is a problem for the supervisor as well as for the employee. Acknowledging joint responsibility is less likely to activate a rebellious or scared Child ego state.

The problem should be stated as succinctly and factually as possible. The objective is to communicate Adult information in order to solve a problem. In role-playing situations it was observed that although the verbal content of the message was factual, it was frequently perceived by the person in the other role as being a Parent to Child communication because of voice tones and facial expressions. When this happened the Child ego state of the interviewee was hooked, and the problem-solving aspects of the interview gave way to nonproductive emotions.

II. Listen to the Employee

A. "Is this the way you see the problem?" In the seminars, it was observed that listening was frequently a problem for the person in the supervisor's role. The tendency to interrupt and restate what the interviewee was saying was again perceived as Parent to Child communication and lessened the effectiveness of the interview.

The response of the interviewee will determine the corrective action plan.

III. Action Plan

A. "What do you suggest we do?" If the employee agrees with the supervisor's assessment of the problem, the next step is to decide on the action needed to solve the problem. Asking for the employee's suggested solution gives him the opportunity to be in charge of his own behavior rather than being "controlled" by his supervisor. This approach keeps the communication between the problem-solving Adult ego states rather than between a Parent ego state and a scared, rebellious or passive Child ego state.

The plan should be an action plan that will result in visible change within a given time frame. Such responses as "I'll do better." or "I will try not to let it happen again." are not acceptable because, not only do they indicate a lack of commitment, they also lack a plan for action. Acceptable plans define the activity required to achieve the desired change in behavior.

B. "I'm glad you explained that. It changes the picture." "I'll check on this and talk to you again."

The employee may disagree with the supervisor's perception of the problem. He may have information that is not known to the manager. According to the type of information, the supervisor may agree with the employee and consider the situation as solved, or he may need to check on the employees information and schedule a future interview. In either situation, the supervisor listens and responds from his problem-solving Adult ego state.

C. "Yes, but there are these facts that need attention..."

The employee may not see his behavior as a problem. ("Not much happens around here on Friday afternoons, so why should I have to be in my office?") In this case, it has been observed that the employee is usually responding from a Parent or Child ego state. The supervisor must restate the factual problem situation in an effort to input Adult information.

D. "Suppose we try..."

If the employee has no plan, or presents a poor plan, the supervisor may have to suggest alternative plans. The employee should be encouraged to choose from the alternatives presented by the supervisor. His choosing, rather than the managers telling, reinforces the concept that the employee is in charge of and responsible for his own behavior.

IV. Follow-up Procedure

"I'll check back with you..."

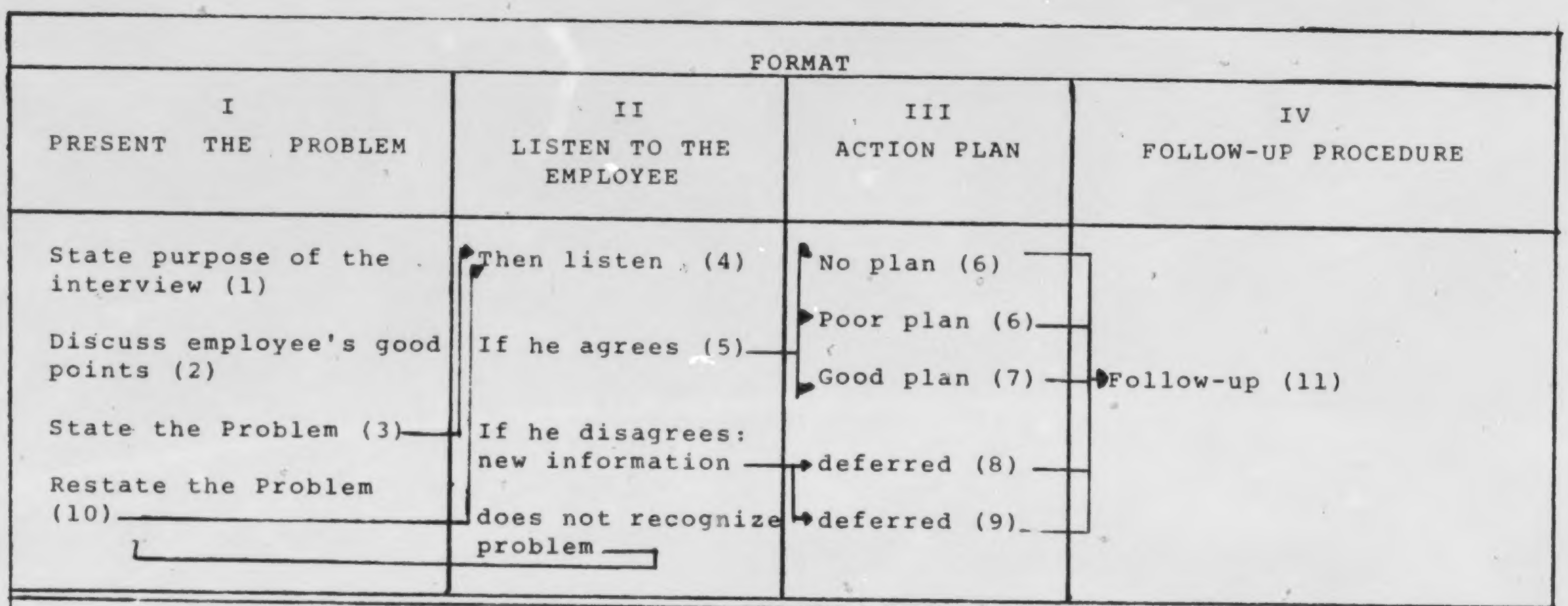
A definite follow-up procedure tells the employee that the manager is concerned about the problem and interested in the solution. The follow-up also provides feedback for the supervisor. If the original action plan was well defined, the follow-up interview can tell the manager that the problem has been solved or help him determine why it has not been solved.

APPLICATIONS

Although the interview format was originally developed for use in a corrective or disciplinary situation, it has been found to be effective in other problem-solving contexts. Seminar participants reported using the same format in communicating with their superiors about their job situations, to resolve interpersonal conflict with colleagues, and to resolve problems with outside firms who provide goods and services to the company.

It would appear, that in all these situations a more effective solution can be reached by following a format designed to fully utilize the Adult ego state and minimize the emotional input of the Child and Parent ego states. The key to the successful use of this technique is in the active learning fostered by workshop and group methods. The recognition of the importance of feelings in the communication process is essential. The technique only becomes effective through practice, support, feedback and the resolution of inhibiting feelings.

FORMAT



I PRESENT THE PROBLEM	II LISTEN TO THE EMPLOYEE	III ACTION PLAN	IV FOLLOW-UP PROCEDURE
State purpose of the interview (1)	Then listen (4)	No plan (6)	
Discuss employee's good points (2)	If he agrees (5)	Poor plan (6)	
		Good plan (7)	Follow-up (11)
State the Problem (3)	If he disagrees: new information	deferred (8)	
Restate the Problem (10)	does not recognize problem	deferred (9)	

The phrases are numbered to correspond to the numbers on the chart:

(1) I'd like to talk to you about-----------------------
(2) There are some things which you are doing well-------
(3) It seems that you and I have a problem--------------
(4) Is this the way you see the problem-----------------
(5) What do you suggest we do --------------------------
(6) Suppose we try-------------------------------------
(7) We have agreed to ---------------------------------
(8) I'm glad you explained that. It changes the picture-
(9) I'll check on this and talk to you again------------
(10) Yes, but there are these facts which need attention--
(11) I will check back with you-------------------------

CONCEPTUAL FRAGMENTATION: A TREND TOWARD NON-COMMUNICATION

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ABSTRACT

As society becomes more diffracted, more groups come into existence, with their accompanying identities, and language. This growth in the number of groups increases the number of inter-group communications. However, the very nature of group behavior seemingly precludes inter-group communication. Thus, we are confronted with a dilemma. This article is an attempt to look closely at the nature and development of this dilemma, with a call for solutions.

INTRODUCTION

In his latest book, Alvin Toffler attempts to sum up what is happening to the nation and the world. One passage succinctly states his case: "What we are seeing is the general crisis of industrialism... a crisis that is simultaneously tearing up our energy base, our value systems, our family structure, our institutions, our communicative modes, our sense of space and time, our epistemology as well as our economy. What is happening, no more, no less, is the breakdown of industrial civilization on the planet and the first fragmentary appearance of a wholly new and dramatically different social order. . . ."[1]

In his attempt several years ago to identify world problems and rate propensity to lead to crisis, John Platt placed communication at a serious level. In fact, over the next twenty to fifty years, he rated communication as one of his "solved or dead" problems.[2] Both of these views of the future foretell the significance of communication as tomorrow's world grows more complex. And brief reflection on past events indicates, to some extent, the nature of the problem we shall face.

As industrialism developed in America, existing societal patterns were disrupted. Society was becoming more interdependent and many of the once individual affairs of men were becoming more standardized. On the surface this tendency should have made the affairs of men (e.g., communication) much simpler; however, there were, and still are complex undercurrents. These undercurrents, although evolutionary in nature, have provided the impetus for severe social conflict--a kind of antithesis to the pressures of conformity--and as a result new groups (ethnic, religious, economic, political, professional) have continually emerged and constructed barriers to protect their identities.

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[1] Alvin Toffler, The ECO-Spasm Report, New York: Bantam Books, 1975, p. 3.

[2] John Platt, "What We Must Do," Science, Vol. 166, (November 1969) pp. 1115-1121.

During the nineteen-sixties and seventies, primarily through the efforts of government, we began another round of standardization, attempting to minimize conflict by eradicating, or at least legislating away individual and group differences--black/white, male/female, young/old, rich/poor. The federal government, through its intervention created new opportunities and incentives for more and more individuals. Paralleling the activities of government, modern industrialism has simultaneously increased the individual's power of self-determination and spawned strict, impersonal and distant relationships. Additionally, as the federal bureaucracy has enlarged, it has spilled over into industry, amplifying the existing impersonal tendencies.

In the socio-political environment the impact of these changes has been rather obvious. As attempts at a more "open-class" society, they seem rather ironically to have had a reverse affect. In the last decade or so increased opportunities and mobility have led to a plethora of movements to establish the identities, rights and freedoms of various groups. And with these emergent groups has come the recognition of new sets of needs, attitudes, and (in some cases) language, accompanied by possibilities of new inter-group relations.

In the economic sector the same impact is to be found. As Toffler points out: "Advancing technology requires more labor division; this, in turn, fosters variety in the population. But simultaneously the new profusion of life-styles, subcultures, ethnic groupings, regional specialties, recreational 'affinity groups' all generate demand for a proliferation of varied goods and services. This demand for varied new products and services brings with it a proliferation of varied new work processes, alternative work routines. . .so that we wind up with more differentiated, individualized people doing more diverse tasks. And this vastly escalates, once more, the cost of coordination. . . ."[3]

COMMUNICATION BARRIERS IN COORDINATION

This cost of coordination obviously has inherent in it problems of communication. As the number of groups in society (and the world in general) increases, the number of cross-relationships increases more rapidly. A simple relationship can be derived by applying the formula, $R_c = N^2 - N$, with the following result:

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[3] Toffler, op. cit., pp. 30-31.

Number of Groups	Number of Relationships
2	2
3	6
4	12
5	20
50	2450
100	9900

These figures represent only direct relationships between each group and all other groups. They do not represent possible coalitions or tiered organizational structures. If these possibilities are considered the formula, $R = N\ (2^N + N - 1)$ can be applied with the following result:[4]

Number of Groups	Number of Relationships
3	18
5	100
8	1040
10	5210
12	24,708
18	2,359,602

In addition to the rapid increase in cross relationships, there is a significant shift in tasks emphasizing communicative activity. "In even the simplest division of labor workers must expend energy on two different functions: one is actually doing the job; the other is maintaining liaison with others who participate in the process. As the society grows more differentiated the balance between these two components of work--'production' and 'liaison' -- shifts, and more energy must go into the liaison component. . . ."[5]

In order to cope with the increasingly difficult task of coordination, there are basically two approaches in accordance with Hage, et al. ". . .coordination can be achieved in two basic ways: (1) The activities. . . can be programmed and then a system of rewards and punishments can be utilized to insure conformity. . . . A clear blueprint of action would make departures from the plan immediately obvious, and a system of rewards would provide the force behind the basic plan. Standards would leave little ambiguity about whom to punish and whom to reward. (2) Organizations can rely more upon continuous flows of information (feedback or mutual adjustment) as a method of coordinating the organization. Under this system, errors, when detected, are often seen as a problem of improper socialization or training; one method of correcting this situation is through the provision of new information. Also implied in this approach is that pressure comes not so much from formal sanctions. . .but more from peer pressures. . . ."[6] Either of these solutions may be effective for coping simply with the increased quantity of messages transmitted. However, there is a far more serious problem (perhaps indirectly related to the quantity of messages) accruing to society for which either solution may be questionable.

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[4] For a discussion of this formula and the possible group relationships see: Harold Koontz and Cyril O'Donnell, Principles of Management, 5th ed., New York: McGraw-Hill Book Co., 1972, Chapter 13.

[5] Toffler, op. cit., p. 30.

Perfect communication requires messages approaching 100% fidelity and relevance. For such to exist one necessary condition is that the receiver must perceive and interpret messages in the manner the sender intends. And to do so both should share a mutual set of symbols. More important, however, as we flip the "semantic coin", is the sharing of the concepts which are associated with the symbols.

To date it seems that there has been a preoccupation with the problem of words *per se* in analyzing communications. It is suggested, however, that the greater problem is psychological in nature revolving around "concept mutuality" or "concept familiarity." Consequently what is needed is more focus on concept formation, the process which deals with experience and the comprehension and categorizing of such experience.

The concepts accumulated by an individual provide him with a frame of reference through which he observes and evaluates ideas, objects, events and people in his environment. Thus, the individual will receive and interpret messages in terms of his experience and the ways he has learned to respond. This is obviously more than a simple capacity for words.

Quite often it is possible that individuals, as members of a given group, based on similar backgrounds and interests, will share learning experiences and internalize similar concepts. As this phenomenon occurs for each group in existence, concepts become fragmented with the possible result that groups of individuals share dissimilar concepts. To the extent that two different groups interface, their symbols (concept proxies) may not be completely mutual, and their communications will suffer. This is especially likely when the signs individuals train themselves to respond to are abstract in nature, possibly representing conceptual extremes.

While there may be many such cases where the harmful effects are negligible, there are possibly many cases where the results are quite significant. If this is correct, and several studies suggest it is, then the social, political and economic schisms noted earlier may make social progress increasingly difficult as the present solutions to coordination become less and less effective.[7]

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[6] Jerald Hage, M. Aiken and C. Warrett, "Organization Structure and Communications," *American Sociological Review*, Vol. 36, (October 1971) pp. 860-871.

CONVENTIONAL SOLUTIONS IN A CONTEMPORARY SOCIETY

As we move away from a "monoculture" and society becomes more diffracted, it seems that greater compartmentalization of both the individual and society is taking place. While we find ourselves sharing a smaller world, we also find ourselves sharing smaller and smaller portions of that world. Obviously not all groups in society communicate with one another, but as one considers the large number of groups in society, and more overwhelmingly in the world, the significance of conceptual fragmenting begins to take on monumental proportions. It becomes increasingly difficult for articulation by some set of predetermined rules (Solution 1) as the number of groups increases. Additionally, the application of sanctions (reward and punishment) by society at large becomes more complicated because various groups require, or develop for themselves, different standards. Classic examples of this would include the multinational corporations, radical groups such as the SLA, and the esoteric maneuverings of various professional groups.

Consequently we are more likely to rely upon secondary information (i.e., feedback) and negotiation rather than rigid structures of communicative behavior. Application of this solution, however, becomes increasingly complicated as the varying power and status between groups is likely to further inhibit feedback. Increasing social distance generated by groups will generally be accompanied by a decreasing flow of information. This is especially true as one considers characteristic group behavior. For example, it is rather well established that groups are not generally eager to cooperate wholeheartedly with other groups. Yet negotiation and mutual adjustment require cooperation. Groups often perceive the situations in which they must cooperate as a zero-sum game, which is likely to lead only to further inter-group tension. So, on the contrary, the attitude is usually one of wariness and hostility, accompanied by uncertainty. This attitude is especially important in light of earlier research findings.

Emerson reported that goals tend to be defined in regions of uncertainty, a quite feasible proposition since most goals lie in future, and the future does tend to be uncertain. Additionally, he stated that goal-oriented motivation is maximized as a function of uncertainty. In his study he provided evidence that feedback is predominantly negative under conditions of high motivation, and that uncertainty appears to be sustained possibly as a result of such communications.[8]

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[7] See, for example, the following: Carl Weaver, "The Quantification of the Frame of Reference in Labor-Management Communication," Journal of Applied Psychology, Vol. 42, 1958, pp. 1-9; A. Haried, "The Semantic Dimensions of Financial Statements," Journal of Accounting Research, (Autumn 1972), pp. 376-391; Harry Triandis, "Categories of Thought of Managers, Clerks and Workers about Jobs and People in an Industry," Journal of Applied Psychology, Vol. 43, (May 1959), pp. 338-344.

Coupled with the findings of Emerson is the point made by Leavitt and Mueller in their classic study of feedback! Conditions of negative or no feedback are accompanied by hostility.[9] Thus, the uncertainty with which groups must deal leads them to some form of intergroup behavior. And to the extent that this uncertainty generates a high level of motivation, it may lead eventually to negative or no feedback, greater tension and hostility, and in turn greater negative feedback, in cyclical fashion.

SUMMARY

In summary, as society becomes more diversified, and conceptual fragmentation increases, groups are more in need of information held by other groups. Consequently, there is a greater need for communication. The one avenue seemingly obvious for such communication is through the generation and utilization of feedback. But the apparently natural tendencies of group behavior will diminish the likelihood of feedback and co-determination of language.[10] And thus, it could be by this road that society sinks into a condition of stasis or stagnation--a confused struggle of pressure groups and power blocs.

If the trend toward what might be termed "polyschism" continues, it will increasingly aggravate the situation, perhaps causing concepts, and therefore language, to become extremely localized. Eventually society may find itself working toward Toffler's new social order, or a glorified Tower of Babel.

In closing, it is interesting to note that many attempts at solving inter-group communication problems have involved some form of language standardization. One such attempt is symbol language, wherein the symbols would be pictorial in nature, hopefully reducing concept variability.[11] (One example familiar to many is the international high-way signs.) This approach, however, brings us back to solution one--a set of rules applied on the basis of prescribed sanctions. More importantly, it does not deal adequately with the abstract elements about which we communicate so much. These elements tend to be deeply imbedded in group values and norms. How, for example, can we symbolize such things as goodness, evil, profit, consumerism, communism, such that conceptual agreement is reached by all? As we continue to diversify, nationally and internationally, it may be something worth thinking about.

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[8] R. Emerson, "A Case Study of Communications Feedback and Sustained Group Goal Striving," Sociometry, Vol. 29, 1966, pp. 213-227.

[9] H. Leavitt and R. Mueller, "Some Effects of Feedback on Communication," Human Relations, Vol. 4, 1951, pp. 401-410.

[10] For one example of group interference in Feedback see: Dennis Ogawa and Terry Welden, "Cross-Cultural Analysis of Feedback Behavior Within Japanese American and Caucasian American Small Groups," Journal of Communication, Vol. 22, (June 1972), pp. 189-195.

[11] Rudolf Modley, "World Language Without Words," Journal of Communication, Vol. 24, (Autumn 1974) pp. 59-66.

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"TALKING TO OURSELVES"
(IMAGES, SELF TALK, SURVIVAL)

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ABSTRACT

Man is in an almost continual process of self-programming, feeding himself words and images which are major factors in creating his reality. Much of this programming is negative and self-defeating.

It may be possible to block these negative distortions and to mobilize psychologically for handling frustrations. Suggestions are made for more effectively confronting and managing ordinary frustrations as well as life's more difficult challenges.

INTRODUCTION[1]

From the age when we learn to talk, we begin talking to ourselves about "what is happening out there". ("It's raining, isn't it Daddy?") and about what is happening to us ("Gee, I feel hot"). We also feed into our minds various images ("that black dog eats little boys") as well. Thus, it can be said that we are constantly programming ourselves, with mental images we create and sustain, and with talk about ourselves and the world out there. More than that, this self-programming helps create our reality, and this reality is, for us, the world we live in.

Now words and images can be positive or negative, favorable or unfavorable, welcoming or threatening. If they are positive they create positive feelings about the world and ourselves; and if negative they help create a negative world. That's the world we make for ourselves; reality is partly our own creation.

Let us now take ourselves into an ordinary day. This day if it is at all normal will bring with it many frustrations. We sit down to breakfast but find we are out of coffee. Just as we drive off to work we have a flat tire. We arrive late and an associate gives us a dirty look. The boss says: "I need to talk to you today. That last project you did didn't come off very well." At lunch the food is poor and the cashier rude. Later on a friend forgets to smile, and dishes out a put-down. And just when we are ready to go home, we are asked to work overtime.

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[1] Editor's Note: This article is written in the first personal nominative to demonstrate the impact of "I" language.

Now let us look at what we seem to have here. A day full of many of life's little irritations. Each such circumstance, taken by itself, is a minor irritation. A triviality. A day, a week, a year from now it will most probably have made no real difference in our lives. That is, unless we have let a succession of these daily burdens create in us a sustained bad feeling about our lives and ourselves.

We can be fairly sure that today, like most days, will have its share of irritations. We cannot keep these from happening. All through our lives they keep on happening. There are many circumstances beyond our control, many we cannot be prepared for, many cases of just pure bad luck. You will agree that they often cannot be prevented from happening. But is it possible to act so that you can change their negative effect?

Little by little we develop a way of living, a way of reacting to ourselves and the environment around us. This is not usually planned or thought out. But by repeating these living patterns they become a habit, until finally we are "living on automatic".

The point is, do we have an automatic negative? An automatic negative, an automatic pessimism, an automatic anxiety? If this is our typical reaction, we need to become aware of this automatic negative, full of negative images, negative self-talk about the world and ourselves. Albert Ellis points out that negative emotions are sustained by negative thinking, by negative self-talk. When we keep feeding back this negative thinking to ourselves ("this is going to be a terrible day, I can feel it already") we sustain the negative feeling. In fact, Dr. Ellis says the evidence indicates that under normal circumstances our negative emotions can only be sustained if we keep talking to ourselves in a negative manner.

His solution is that we identify our automatic negative self-talk, determine to change it, and block it--keep it from happening. In this way, we begin to learn a new way of reacting to the circumstances of living. It is useful, also, if we can determine if it is a negative that generalizes, that seems to apply to most situations, or whether it is a specific negative, which seems to happen under specific situations only, such as the fear of failure, or the automatic feeling of rejection by others.

I feel that Dr. Ellis's approach to the problem can be very useful and deserves serious consideration. but I feel there is another way we may be able to prepare ourselves psychologically for possible trouble ahead. An interesting study has found that patients coming out of surgery are often shocked by the pain in the recovery room. Waking up to pain can be a psychological shock. But the study has also found that if the patient, before entering surgery, is carefully warned what pain to expect upon waking, something positive happens. Psychologically prepared for the pain, as he wakes up, his pain level seems less, and he is better able to bear it. The pre-surgery warning prepared him mentally and lessened the shock when it did come. In eight out of ten cases, post-operative pain was less distressing when the patient was told in advance how he might feel when pain hit him. What we seem to have here is a kind of psychological mobilization. It is as though mind and body were prepared in advance. Physical and psychological energies were given time to mobilize, they were made ready to handle the pain when it appeared.

Can we develop a kind of psychological early-warning system, a "possible future pain" signal, that will help us over some of our daily psychological shocks? There is more than one way of going about this, but let me suggest one here. Let us write down, or mentally consider, the following concepts:

discouragement
disappointment
defeat
misfortune
failure

Think of these for a moment. Practically every day, one or more of these will happen to you. It may be in minor or major degree, but it seems to be "out there", waiting to happen. Would an advanced warning help? Can you mentally prepare yourself for at least some of the negative events ahead?

Can you at first try to remember that about nine out of ten of our worries are about things that never happen? This means we easily tend to exaggerate the event, to blow it up out of all proportion to its seriousness. Emotionally we are making mountains out of molehills. Often we can't trust our first negative reaction.

For example, I have found that if I wake in the middle of the night with a worry, I cannot trust my negative feelings. I get up in the darkness, get moving, and get out of there. With the light turned on and yourself in motion, something begins to happen, you are mobilizing yourself and the worries get smaller.

Let us return for a moment to our problem situations: discouragement, disappointment, defeat, misfortune, failure. We now assume these will happen, keep on happening throughout our lives. So, instead of being surprised and badly shocked, we will begin to achieve a kind of psychological mobilization. We are not going to be put down by the unexpected.

At the worst, and if action is not possible, we can accept it (telling myself this is positive self-talk). I have found it very useful at times to visualize the very worst that can possibly happen in this situation. I then agree that I can live with the very worst if I have to. Once I have mentally prepared myself for the very worst, realistically, I can predict that this is probably not going to be nearly this bad. What is likely to happen is so much less than the worst that the burden already seems smaller and easier to deal with. Emotions can wind down and you feel much more able to handle it.

I also remember that, no matter how bad the situation may seem to be, I can do something to make a bad situation better. (This is positive self-talk). Getting in motion mobilizes energies you didn't know you had, and doing something helps generate added self-confidence. Being able to take the worst, and doing something to improve a bad situation, both act to restore hope, a vital factor in psychological survival.

A few days ago, it happened to me. A real disappointment. This incident hurt. In fact, at first I felt as though I'd been kicked in the stomach. I was left with the problem of recovery. The initial shock propelled me towards disbelief and mounting anxiety. It took a little while, working through feelings of disappointment. Fortunately, I remembered to visualize the very worst that could happen. I then fully accepted that--decided to live with the worst possible outcome if I had to. Then, I began to realize it was not nearly as bad as this. I also reminded myself that this was another expected share of disappointment and discouragement. Then I continued the process, starting to do something to make the situation a little better.

I feel that my system of reacting was a great help under a particularly distressing situation. I was able to use positive self-programming: "This is a disappointment, really bad luck. I have a right to feel disappointed. But it has happened and I can move beyond it. I will not panic, I simply will not fall into despair."

This approach allowed me to avoid or block such negative self-talk as "how awful" "how could this happen" and "how am I going to get over this".

Life bruises us. Often. But if we can prepare ourselves to accept misfortune as an incident, the bruise can heal. We can develop a kind of psychological callus--a tough place where we won't get bruised so easily next time. Or, instead, we can fall into negative self-talk, keep thinking about it and talking to ourselves about it, and sustain the negative emotion. Then we may develop a psychological sore spot, a tender place, more sensitive to hurt next time. Moving beyond the minor irritations, when the situation is truly serious, if we act to make a bad situation better, we discover psychological strengths we didn't know we had, and find a new self-fulfillment in becoming more than we were.

Again, let us think beyond the more ordinary difficulties and frustrations to a consideration of the sterner challenges ahead. Indeed, according to Salvatore Maddi, there is a "developmental value" in the fear of death. The "mental experience of fear" can result from either confronting the possibility of death itself, of from experiencing other life events which, "if properly understood, constitute confrontations with death". Suppose, then, we are faced with the sterner events of life: death of a family member, end of a marriage, the keen loss felt from unwillingly terminated employment. We are now forced to re-assess our life position. This can also happen when things greatly desired do not turn out as they should--a long friendship gone sour, hard work unrewarded, integrity maligned, long and conscientious fair play rewarded with gross injustice. Such stern events may push us to question the very meaning of life.

We ask ourselves: what do we need to do---to make sense of it? We can revert to pessimism, seeing ourselves as powerless and life as a delaying action of endless withdrawals. Stalked by fear, we take unending precautions in a life that seems out of control, and in which we are all the inevitable victims.

Or we may forsake pessimism for determined optimism, and turn from cowardice to courage. We can take difficulties as challenges. These stern events are important, we must meet them, solve them, and learn from them. We learn to vigorously use our capacities to think through and work out the most difficult solutions. This very process repeatedly confirms our competence and self-worth. Confronted with stern circumstance, we repeatedly discover that we are capable of influencing the events of our lives.

Making the really tough decisions confirms our self-identity--in times of crises we find out who we are and what we are bent on becoming. Through courageous action we change both the situation and ourselves.

This, in whatever degree of seriousness, is still a matter of what we tell ourselves--about the situation, about ourselves, and about what we have to do.

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PART 3

ON MY WAY TO THE FORUM

COMMUNICATION: KEY TO MANAGEMENT BY OBJECTIVES

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ABSTRACT

The paper first develops the relationship between output and the various factors that influence it. Communication is seen as a vital part of the MBO process, and MBO, an important determinator of output.

A model of MBO is presented. The communicator, reinforcement, and commitments is discussed at each stage of the model. Communication is seen as the key to the MBO process.

The resulting commitment to job and organization goals is discussed. The paper concludes that MBO can have a positive effect on the individual and on the organization. The paper is based on the author's experiences and study of MBO.

INTRODUCTION

This paper is aimed at answering the question: Why is management by objectives an effective organizational philosophy? To aid in this answer, a model and explanations are presented to explain why the philosophy works as it does. The role of communication as a catalyst is emphasized as the key to the process.

Theo Haimann states that "companies that have adopted this approach (management by objectives) consider it to be one of the most exciting and innovative approaches to building motivation that have been developed in recent years."[1] It has been amply demonstrated that MBO techniques will boost productivity. In a study by the author, the hypothesis that worker productivity would increase using the MBO techniques is presented.[2] Productivity over a 2-year period rose from 83.5 to 97.0 percent.

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[1] Theo Haimann, Supervision: Concept and Practices of Management, (Cincinnati, Ohio: Southwestern Publishing Co., 1971), p. 59.

The classic production function presented by Leftwich states the quantity of output over a period of time is a function of the quantities of the resources a, b, c, etc., used by the firm.[3] For example, 0 = f(a,b,c) or output is a function of units of land, machinery, and human resources. The product output of a firm depends on the quantities of these resources used. Modifying this production function, we will call in the Human Resource Production Function. We will then set output equal to the function of (or dependent upon) communication, supervision, work environment, morale, working conditions, etc., and finally management by objectives. For example, H.R.O.= f(a,b,c) or human resource output is a function of communication, supervision, environment...MBO. In other words, maximum output by the human resource depends on the proper use of these resource inputs.

The next major requirement is that the environment be conducive to the MBO philosophy. We can then derive an equation that says management by objectives is a function of (or is dependent upon) goals, periodic review, commitment by top management, and individual commitment. For example, MBO = f(a,b,c) or these items listed.

Model of MBO

The hypothesis that communication is the key to the success of the management-by-objectives process is presented. This is illustrated in the accompanying model. The explanation of the model suggests that commitment to the goal is one of the most important factors in achieving the goal. The individual should originate the goal or set of goals. This gives him the incentive to reach them. Only a rough outline on format, areas to be covered, and so on should be given to the individual as an aid by management. Peter Drucker suggests the use of the "manager's letter" where the manager states what he hopes to accomplish over a time period.[4]

Referring to the model, two possibilities exist once the individual has presented a goal. If he negotiates with his boss and discusses the goals with him, there will be more positive reinforcement.

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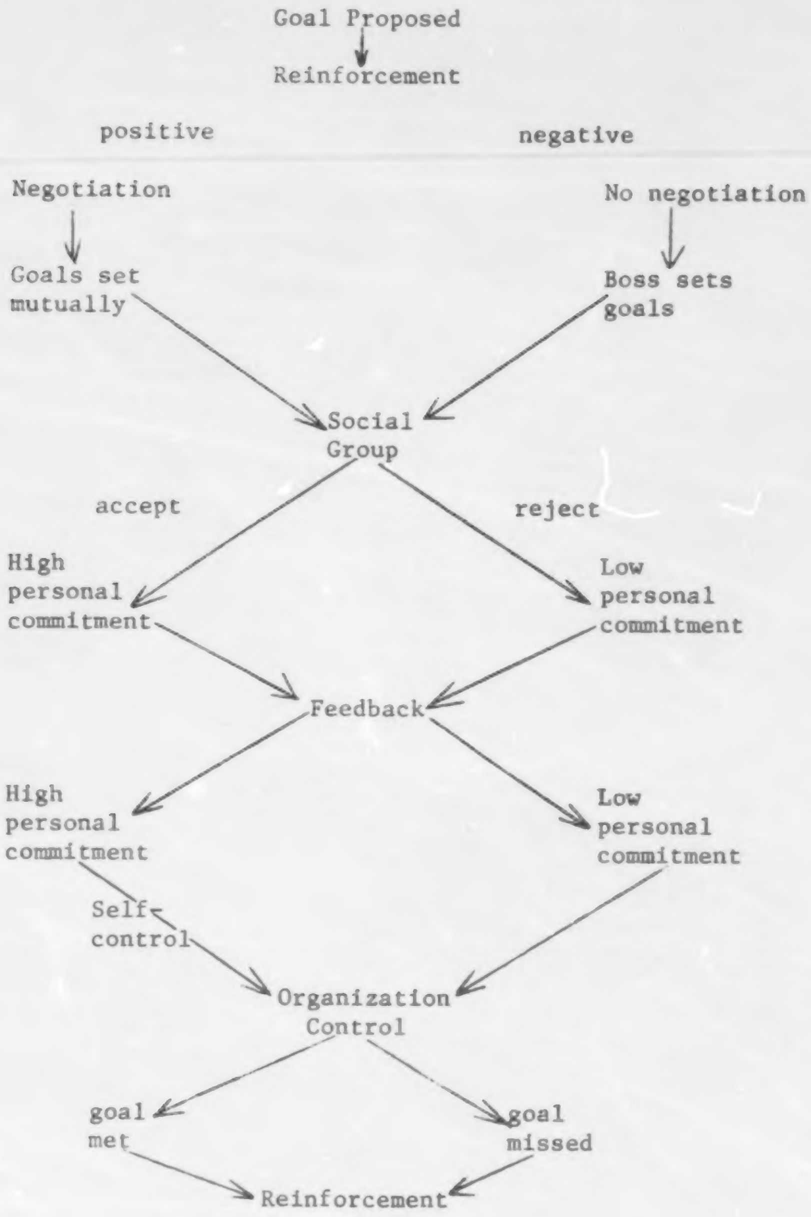
[2] R. Henry Migliore, "Improving Work Production Through Communicating Knowledge of Work Results," Management of Personnel Quarterly, Summer 1970, pp. 25-32.

[3] Richard H. Leftwich, The Price System and Resource Allocation, (New York: Holt, Rinehart & Winston, 1961), p. 108.

[4] Peter Drucker, Management: Tasks, Responsibilities, Practices, (New York: Harper and Row Publishers, 1974), p. 38.

MANAGEMENT BY OBJECTIVES MODEL


Goal Proposed
Reinforcement
positive
negative
Negotiation
No negotiation
Goals set mutually
Boss sets goals
Social Group
accept
reject
High personal commitment
Low personal commitment
Feedback
High personal commitment
Low personal commitment
Self-control
Organization Control
goal met
goal missed
Reinforcement

Alternatively, if there is no negotiating, there will be negative reinforcement. After negotiating with the boss, if the goals are set mutually between them, and if the social group that the individual identifies with accepts these goals, a high personal commitment will result. It is possible, however, that in a strong social group influence, if these goals were accepted and the social group rejected the goals, the possibility for a low personal commitment exists despite the negotiation and mutual goal setting between worker and boss. On the other extreme, if there is no negotiation and the boss sets the goals without an interaction with the employee, there will be a low personal commitment. The emphasis must be on proper two-way communication during these negotiations.

Next, there must be some feedback or knowledge of result mechanism inherent in the process. If the communications channels are open and there is a good feedback system, a good review system, and performance towards the goals is communicated properly, the high personal commitment will continue. If there is no feedback, low personal commitment will continue. The high personal commitment will induce self-control, variables of which are the worker's own self-image, the move to satisfy higher-level needs, and his own self-actualization. All these things will contribute to the worker's own self-control towards achieving the goals.

As proper organizational control techniques such as budgets, performance appraisals, plans, and programs are used, the opportunity to reinforce the goals and goal participation is obtained. An accounting system with revenue, profit, and cost centers is most helpful. The goals are then either met or missed. If they are met, the individual will feel a resultant reinforcement. If they are missed, then there will be some degree of negative reinforcement. In reality, there is a gray area of reinforcement achieved depending on how close the worker came to achieving the goal.

Our next task then is to determine, if this model is correct, why the worker is committed. He is committed because he has had an opportunity to interact with his supervisor. Raymond Peters suggests the need for closer contact between a supervisor and the supervised.[5] Thus, the MBO process by its very nature has brought individual and supervisor together. The fact that the employee has participated in setting the goal helps satisfy higher-level needs. We are referring to Maslow's need structure.[6] We are assuming that the lower-level needs have been met, such as food, water, creature comfort, safety, etc., and that the worker is now committed to achieving the higher-level needs suggested by McGregor.[7]

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[5] Raymond Peters, Communication Within Industry, (New York: Harper & Sons, 1950), p. 3.

[6] A. H. Maslow, "A Theory of Human Motivation," Psychological Review, 1943, p. 394.

[7] Douglas McGregor, "Theory X vs. Theory Y," Factory Magazine, 1960, p. 86.

Through this goal-setting process higher-level needs are satisfied. The goal-setting process gives the participant the opportunity to be measured, a means toward recognition. Recognition can come from the supervisor or the various organizational controls, rewards for productivity, and similar extrinsic rewards. Or there is a natural tendency for intrinsic rewards to be prevalent. This is the satisfaction of feeling good inside when one knows he has done a job well. The worker will be committed, often unconsciously, because of these forces. Peters suggests that morale can result from the "realization of doing something useful."[8] A commitment is triggered here because the individual recognizes that things are being accomplished, and he recognizes his contribution when the proper communicative techniques are being used.

Self-image also has an effect on the commitment. After the worker has participated in the goal setting, he feels committed because his self-image is generally warded off at all costs.[9] The worker will feel a compulsion for even greater commitment to the goal to support the self-image and will do his utmost to assure that the goals are met and a positive outcome is shown.

Competition can also increase commitment towards goal accomplishment. This author found that competition among the various work groups at lower organization levels increased morale and goal commitment.[10] The spirit of competition is innate in humans, and it stimulates us to higher performance.

Other theories on factors that affect the model are worthy of discussion. Hingham suggests that if a person dislikes or mistrusts someone, he is not likely to be receptive to what the person has to say and his version of our words is likely to be distorted by his personal views or preconceived notions about one's motives.[11] It is vital that this does not become a roadblock in the management-by-objectives communication process. Management must assume this responsibility.

Oberg states that one of the pitfalls in performance appraisal is lack of communication, employees not knowing how they are rated.[12]

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[8] Peters, Ibid., p. 17.

[9] William V. Haney, Communication and Organizational Behavior, (Homewood, Ill., Richard D. Irwin, Inc., 1967), p. 69.

[10] Migliore, Ibid.

[11] T. M. Hingham, "Basic Psychological Factors in Communication," Occupational Psychology, January 1957, pp. 1-10.

[12] Winston Oberg, "Make Performance Appraisal Relevant," Harvard Business Review, Vol. 50, VI, Jan-Feb., 1972, pp. 61-67.

The judgment standards perceived to be used are not the same as those actually used. This can be overcome and the perception problem reduced if the communication process is encouraged and the goals are set properly. The Alcoa Company of America Performance Appraisal and Review Process is one of communication. It is summarized as:

1. A person writes down his major performance objectives for the coming year, and his specific plans (including target dates) for achieving these objectives.
2. He submits them to his boss for review. Out of the discussion comes an agreed-upon set of objectives.
3. On a quarterly basis he verbally reviews progress toward these objectives with his boss. Objectives and plans are revised and updated as needed.
4. At the end of the year, the person prepares a brief "accomplishment report," which lists all major accomplishments, with comments on the variances between results actually achieved and the results expected.
5. This "self-appraisal" is discussed with the boss. Reasons for goals not being met are explored.
6. A new set of objectives is established for the next year.[13]

The management-by-objectives process seems to hinge upon good communication. Referring back to Alcoa's definition of MBO, first, the manager had to write down his performance objectives. Second, he had to discuss them with his boss. Third, he reviewed with his boss. Fourth, he made a report, and fifth, he again discussed the objectives with his boss. In each of these areas it appears that communication is the key to success. A breakdown anywhere could cause management by objectives to fall apart.

The importance of communication is emphasized by a number of sources. Klevickis believes, "an MBO approach designed to achieve shared commitment toward common results or operational improvements is essential."[14] Paul Pigars states, "My feeling is there is a direct analogy here with the fact that goal setting should be recognized as a joint process also."[15]

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[13] Walter S. Wilkstrom, "Managing By- and With-Objectives, Studies in Personnel Policy, No. 212," National Industrial Conference Board, 1968, p. 3.

[14] A. C. Klevickis, "The Rights and Wrongs of Management by Objectives," Industrial Engineer, July, 1973, p. 17.

[15] Paul Pigars, "Effective Communication on the Job," American Management Association, 1963, p. 25.

Pigars goes on to say that much communication fails unnecessarily because a writer or speaker acts as if he were the only active agent. Sherwin states that enlisting is a process where information and judgments are exchanged and an understanding is built.[16] McGregor agrees when he emphasizes that the goal setting is to be done by the employee.[17]

What we see, then is that many authors emphasize many of the variables built into the model. Raven found that when the goal is unclear, a person is uncertain and feels threatened.[18] He also found that groups that did not have goals or had goals that were unclear were likely to try to define goals themselves. Watson and Johnson found that group productivity is based primarily upon the commitment of members to accomplish the group's goals. Unless there is a reasonable chance of success, little enthusiasm for it would be generated. Important here is the variable of the possibility of the outcome. According to Watson and Johnson, the goal must be perceived as possible of achievement or motivation to achieve it will be lacking. Lindzey and Arnson point out that the "goals of the organization must in some sense, then, be an amalgam of the goals of the participants.[19]

The author drew this same conclusion in an unpublished study of college students in 1972. Other pertinent points in that unpublished study were that (1) the students would work as hard or harder if they set the goal than if their parents set the goal; (2) the students had a tendency to set goals too high; (3) the students were strongly motivated to achieve the goals; (4) persons will work harder once they start a task they are committed to accomplish.

Tebay found that greater success results when the planning takes into account the attitudes and experience of those involved.[20] MBO goal setting as demonstrated by the model, recognizes factors.

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[16] Douglas S. Sherwin, "Strategy for Winning Employee Commitment," Harvard Business Review, May-June, 1972, pp. 37-47.

[17] Douglas McGregor, "An Uneasy Look at Performance Appraisal," Harvard Business Review, May-June 1957.

[18] Bertram H. Raven, "The Effects of Varied Clarity of Group Goals and Group Path Upon the Individual and His Relation to His Group," Human Relations, 1957, pp. 29-46.

[19] Lindzey, Arnson, The Handbook of Social Psychology, (Addison, Wesley Publishing Co., 1968), p. 571.

[20] James E. Tebay, "Planning That Begins and Ends with People," Management Review, Vol. 61, No. 2, January 1973, pp. 47-51.

Conclusion

In conclusion, the various studies and the information about goals, communication, commitment, and their effect on people seem to fit into the management-by-objective model presented. The goals can be an integral part of the motivation and commitment process.

The studies and results from the different academic sources motivated this author to do a study among 24 companies during the spring of 1973. The companies were asked to respond to a "productivity questionnaire." The questionnaire was developed to determine how people viewed the productivity problem and specifically how some of the factors affected productivity. Of specific interest were their feelings about goals and goal setting, communication, training, supervision, pay, goals of the organization, how their goals ranked with other groups, how the goals made the person feel, and factors that could cause him to produce more. Participants in the study included engineers, first and second-level managers, welders, production-line employees, service industry, computer operators, and white-collar workers.

What this study seems to validate is that people inherently recognize the value of goals and goal setting and feel it would help them in their environment. The model presented emphasized communication and commitment; suggests the proper method of goal setting.

Paper presented by R. Henry Migliore, American Business Communication Association, March 19, 1976, San Antonio, Texas.

This material will be used in Chapter IV of R. Henry Migliore's book, MBO: Blue Collar to Top Executive.

POST-MORTEM OF AN ELECTION: A COMMUNICATIONS FAILURE (OR TRIUMPH)

John Todd, University of Arkansas

ABSTRACT

An election for the approval of a new municipal sales tax is analyzed from a communications perspective. The election was lost in spite of early polls favoring it, and it is suggested that identifiable communications factors contributed to this election decision. The opponents of the tax communicated more effectively to the voters than did the proponents. Their message was clearer; they utilized the advertising media more extensively; they stimulated voters' latent emotions; and they exploited factors in the communications environment. The analysis of the election is followed by a discussion of the implications for organizational managers.

INTRODUCTION

What role does communications play in deciding an election? Many people still recall the decisive role of the televised debates in the 1960 presidential election. Was that a fluke communications phenomenon? Or does communication also have a significant effect on other elections? Theodore White and others have written extensively about the importance of the images communicated by the candidates.[1] But what about an election without candidates - an election over a single issue? And what is the relevance to management?

This paper analyzes a recent local election from a communications perspective. The election was called to approve a one-cent city sales tax for Fayetteville, Arkansas. The proposal failed in the election by approximately 270 votes out of 4,300 total votes. There were a number of factors that figure in the election, not least of which was the issue itself. It is the hypothesis of this paper, however, that communications played the key role in the election. This paper will examine that hypothesis by reviewing the pre-election activities from a communications perspective. The implications of this situation for managers of organizations will also be examined.

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[1] Theodore H. White, The Making of The President, 1960, Atheneum Publishers, New York, 1961.

THE ELECTION CALL

As with most cities, Fayetteville had been heading toward financial trouble for several years because of inflation. Expenses in a growing city were forging ahead of revenues. In the latter part of 1974, the problem was compounded when the city lost half of its local property tax millage for operations because of a court decision. (An antiquated Arkansas Constitution set a very low limit on this primary source of revenue, and Fayetteville and other Arkansas cities had been exceeding that limit without challenge until the lawsuit). Thus, Fayetteville city government faced a financial crisis that called for new local revenue.

City directors, the elected representatives of the city government, set about studying the very limited alternatives. They also met with various groups who had ideas and questions. The sales tax appeared to be the best alternative. A public opinion poll was commissioned that showed support for a city sales tax by approximately 55% of the people polled. That poll and a subsequent poll by the Chamber of Commerce of its members both indicated a favorable reaction to the city sales tax. The Directors, themselves a diverse group composed of two University professors, a retired person, a housewife, and a businessman, a real estate person, and a utility company manager, voted unanimously to ask voter approval of the city sales tax. To that point, visible opposition had been limited to a small group of car dealers who were concerned with losing business to other towns.

The development of opposition in the next few weeks and the resulting rejection of the tax provides reason to suspect that communications played an important role in the election. The next section will examine the most important communication factors that occurred during that time. The observations are made only in order to test the research question and should not be construed as criticism of the people involved. The primary information for this paper was collected from newspapers and interviews with city officials and other citizens.

COMMUNICATION FACTORS

Clarity

One of the advantages of the sales tax proposal was its simplicity. People could readily understand what it was and how it was to be paid. Confusion arose, however, on the relationship of the new sales tax revenue to the city's needs. Opponents emphasized in numerous paid advertisements that the sales tax revenue was substantially more than the property tax that had been lost. The Directors answered this by pointing out that the 1975 budget deficit was greater than the tax loss and that the projected 1976 budget would be even greater, thereby narrowing the gap between expected sales tax receipts and city's needs. Any excess money over the amount needed was committed to capital projects, bond retirement, or tax reduction. Appendix 1 reflects the complexity of the Directors' answer to the claims of excess funds; this was the only paid advertisement of this nature. In discussion with people after the election, it was obvious that they understood the opponents' figures better than the more complicated figures of the Directors. Ordinary citizens were confused by the intricacies of municipal finances and terminology such as deficit, multiple funds, inflation percentage, revenue sharing, reserves and capital improvements. Not being able to comprehend the proposal, most people voted against it. Thus, the good intentions of the directors in providing all the information had a boomerang effect.

Media

The inadequacy of media by which the issue could be discussed was another significant factor. If the relatively complex message of the Directors was to be understood, it had to be presented effectively through the media. Fayetteville had no television station, thereby eliminating a very important means of communicating with citizens. The only Fayetteville newspaper provided coverage of the issue, but its news reporting sometimes stimulated more questions than answers. The unpublicized radio debates were participated in by city officials. Although the debates apparently improved listeners' understanding of the issue to the favor of the tax proposal, the number of people affected was relatively small. Personal appearances before several civic groups by city officials also was an effective means of presenting the issues and answering questions for the people present. It appeared, however, that most of the audience at these meetings were favorable to the tax measure and only needed to have their opinions reinforced. Communication by paid advertising was limited for the proponents of the tax, while opponents saturated the media with paid advertisements. Thus, the limited media available was more extensively used by the opponents of the tax. Other media, such as television and public forums that would have been better suited for the proponents' more complex message, either were not available or were not used to any significant degree.

Emotions

Tax opponents communicated primarily to evoke people's feelings and emotions. Their strategy was to make the tax proposal a "gut issue" that evoked negative feelings. Appendix 2 is a sample advertisement of the opponents. The words "disgusting" and "immoral" in that advertisement struck a responsive chord among a number of people, according to observers. Examples of other opposition advertising texts are the following:

> Are you . . .
> A Housewife
> Trying to live within your grocery budget? Do you want your grocery dollar to be worth only 96¢?
>
> Are you . . .
> On a Pension?
> The proposed sales tax increase would be just the same as a 1% cut in your pension. Can you afford it?

With an economic recession in progress, these messages were easily understood by these people. The message also expressed understanding of the peoples' economic problems, thereby developing greater receptivity to the position of the sender. Conversely, these emotions tended to set up barriers for the tax proponents' message. Directors followed a policy of presenting the city's financial situation in a logical, factual manner and relying primarily on the receivers to relate that to their own welfare. As long as emotions were neutral, this approach was successful. As personal feelings were stimulated by opponents, they increasingly screened out the messages of logic and facts.

Environment

The economic environment, as noted above, tended to make reception of a tax-increase message more difficult. Many people would not allow themselves to consider such a message because it would represent a further threat to their financial condition.

The political environment also was not conducive to effective communication. Political disputes in past years had left a segment of the community alienated from city government, and communication with that segment was probably not possible. As an example, one director's usage of the word "tradition" in connection with the maintenance of municipal services stimulated a sharp reaction from the opposition that old political wars were being revived. Too late, the director realized that the word "tradition" meant something very different to some people. It is unlikely that any choice of words would have been understood by that segment because of a very different frame of reference from the directors.

More seriously, there seemed to be a credibility problem that was a product of a general distrust of all governments and politicians. The result was a failure to believe statements by city officials about the seriousness of the city's financial problems. Many people chose to ignore the messages of those officials because they "had been lied to before." A recent nationwide study showed that over one-half of our adult population agreed with the statement: "you cannot trust statements made by leaders in our country." This problem was accentuated in the last few days before the election by opponents' inaccurate statements that implied possibilities for cost savings and other revenues. For example, an airport cost budget of $225,000 was pointed to as a way to save $225,000. City directors tried to point out that the airport revenues offset that expense, but several people said later they still believed the original charge. The directors' reply was either not received or not believed by those people.

Communication is considered by the writer to be completed when the receiver of the message understands the essentials of the message. The receiver does not necessarily have to agree with its contents or take action on it. Within the definition, it can be seen from the above account of an election campaign that there are many opportunities for communications failure.

The election that was reviewed above appears to have been significantly influenced by certain communication factors. Early public opinion polls predicted passage of the tax proposal. Between that time and election day, a large number of voters apparently changed their mind. The key to the shift appears to be the result of more effective communications by the opponents than that of the proponents. The message of the opposition was understood and believed by the voters, while the proponents' message was not received to the same degree.

The communication phenomena observed here is not limited to this particular situation. Although the principles and errors may be most directly applicable to other elections, the writers believe that all people involved in interpersonal and organizational communication can benefit by considering the results. The next section will consider particularly the implications for managers of organizations.

IMPLICATIONS FOR MANAGERS

Managers often decide on new programs after extensive studies. Based on those studies, the managers believe they are doing what is best for the organization and its employees. Unlike the governmental situation, they do not have to ask for employee approval. Yet, just as definitely as by a voter rejection, the new programs are often defeated by the employees. Weapons of benign neglect and sabotage prove quite deadly for many managerial innovations.

The same communications factors that were discussed above are also common in the business world and must be dealt with by managers. They must likewise be concerned with communications clarity, media, emotions, and environment. The objective to be attained by attention to these concerns would be to communicate messages that are comprehensible, valid, and have utility for the receiver.[2]

The following practices are important for effective communication. Each of them affected the election outcome and can also affect managerial success.

1. Communicate clearly. The message must be understandable by the receiver. Too much information - overload - can contribute to confusion, as in the election, just as much as too little information. Increasingly, managers must be able to communicate clearly the "why" as well as the "what" of new programs without giving people more than they can handle. In addition to the magnitude of the message, the language and the manner of the presentation may be critical in making the message understandable to the receiver. Without this understanding, there will be a tendency to reject the proposal. Thus, the receiver's capabilities and interests should be considered by the sender along with the content of the message in order to effectively communicate.

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[2] Lee Thayer, Communication and Communication Systems, Richard D. Irwin, Inc., Homewood, Illinois, 1968, Ch. 13.

2. Present the message through media that will improve the chances of the message being physically received and understood. Reliance on one-way communication efforts through mass media was inadequate to present the directors' complex messages trying to explain the financial situation. The limited availability of two-way personal communication media curtailed communication effectiveness in the election. Managers also often rely on memos and newsletters to communicate messages with an equal lack of success. It is seldom possible to anticipate all the questions and fears that occur to people when a message is presented, so a two-way communications media is important for those occasions. Thus, media selection is important in order not only to assure physical reception of the message but also to improve its understandability.

3. Don't rely on the language of logic to convey messages. The language of sentiments also must be considered, as originally pointed out by Rothlisberger and as demonstrated in the election. Rothlisberger found large communications breakdowns in corporations because managers spoke the "language of efficiency" and the workers spoke the "language of social sentiments and feelings."[3] In the election, the proponents based their campaign on "putting everything out on the table so people can see the tax is necessary." This logical approach proved less effective than that of the opponents, who demonstrated empathy and identification with people's feelings about their own situation. It is noteworthy that the opponents had no "logical" revenue alternatives but simply stimulated latent concerns and fears of the voters. People's emotions can serve as strong filters or amplifiers for messages directed toward them.

4. Make the message believable. A receiver of a message will evaluate both its content and its sender for validity. As noted above, credibility is a large barrier to communication effectiveness in the governmental area. Managers must also be concerned with a widespread questioning of authority that makes communication from authority figures suspect to the receivers. This problem is an extension of the "don't trust anyone over 30" ideology of the 1960's. Although its most visible impact may be in the political environment, corporations, churches, and other institutions must also try harder to establish credibility as a prelude to effective communication. Otherwise, negative value judgments by potential receivers will block out the message.

These suggestions appear to be important for better communications. The message must be physically received through appropriate media and it must be understandable, be believable, and take into account the receiver's emotions. Although most people do not have to worry about winning an election, the communications lessons to be learned from an election can be useful for interpersonal relations and organizational success in other situations.

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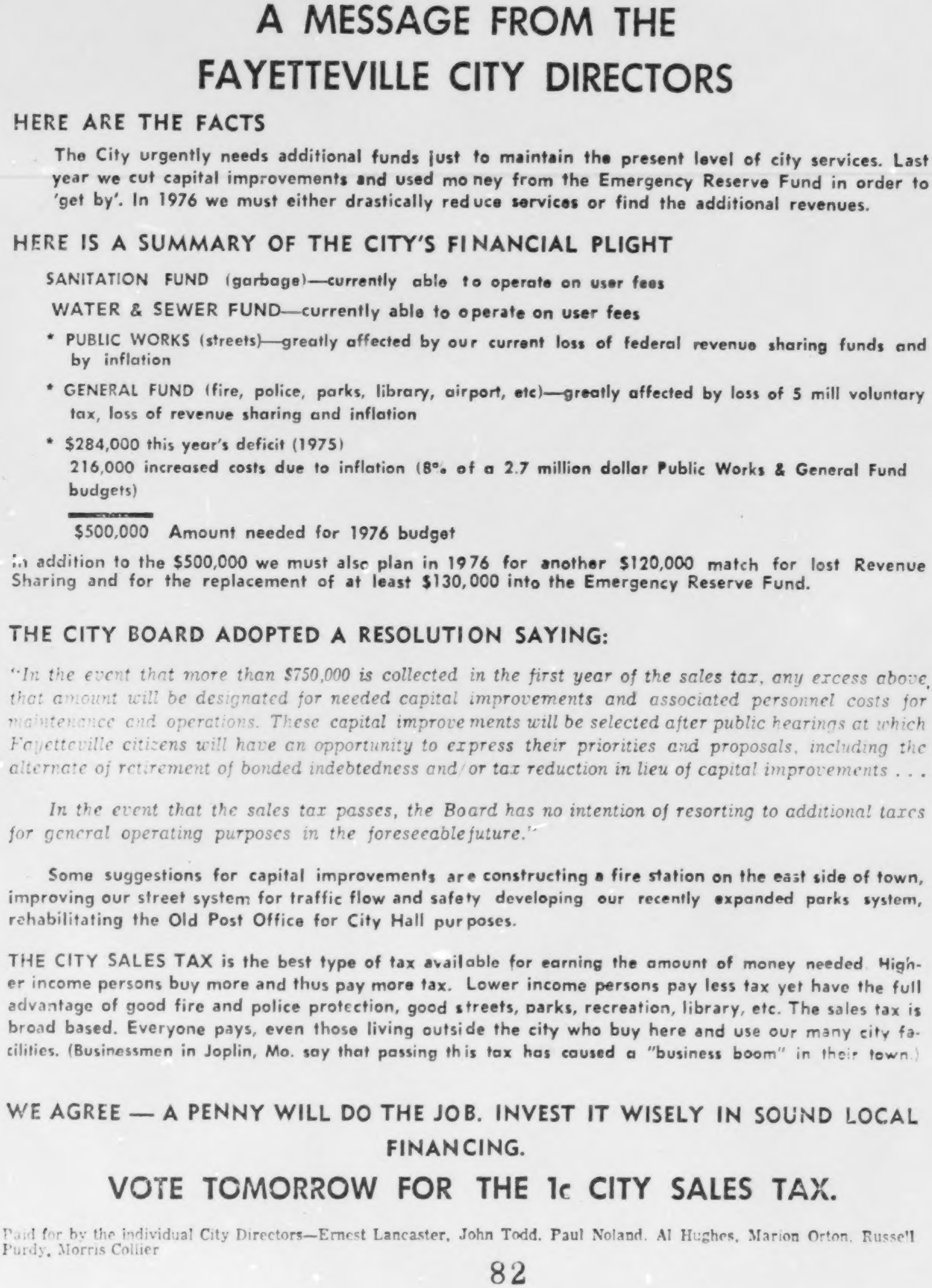
[3] Fritz Rothlisberger, Management and Morale, Harvard University Press, Cambridge, Massachusetts, 1941.

APPENDIX 1



A MESSAGE FROM THE FAYETTEVILLE CITY DIRECTORS

HERE ARE THE FACTS

The City urgently needs additional funds just to maintain the present level of city services. Last year we cut capital improvements and used money from the Emergency Reserve Fund in order to 'get by'. In 1976 we must either drastically reduce services or find the additional revenues.

HERE IS A SUMMARY OF THE CITY'S FINANCIAL PLIGHT

SANITATION FUND (garbage)—currently able to operate on user fees

WATER & SEWER FUND—currently able to operate on user fees

* PUBLIC WORKS (streets)—greatly affected by our current loss of federal revenue sharing funds and by inflation

* GENERAL FUND (fire, police, parks, library, airport, etc)—greatly affected by loss of 5 mill voluntary tax, loss of revenue sharing and inflation

* $284,000 this year's deficit (1975)
216,000 increased costs due to inflation (8% of a 2.7 million dollar Public Works & General Fund budgets)

$500,000 Amount needed for 1976 budget

In addition to the $500,000 we must also plan in 1976 for another $120,000 match for lost Revenue Sharing and for the replacement of at least $130,000 into the Emergency Reserve Fund.

THE CITY BOARD ADOPTED A RESOLUTION SAYING:

"In the event that more than $750,000 is collected in the first year of the sales tax, any excess above that amount will be designated for needed capital improvements and associated personnel costs for maintenance and operations. These capital improvements will be selected after public hearings at which Fayetteville citizens will have an opportunity to express their priorities and proposals, including the alternate of retirement of bonded indebtedness and/or tax reduction in lieu of capital improvements . . .

In the event that the sales tax passes, the Board has no intention of resorting to additional taxes for general operating purposes in the foreseeable future."

Some suggestions for capital improvements are constructing a fire station on the east side of town, improving our street system for traffic flow and safety developing our recently expanded parks system, rehabilitating the Old Post Office for City Hall purposes.

THE CITY SALES TAX is the best type of tax available for earning the amount of money needed. Higher income persons buy more and thus pay more tax. Lower income persons pay less tax yet have the full advantage of good fire and police protection, good streets, parks, recreation, library, etc. The sales tax is broad based. Everyone pays, even those living outside the city who buy here and use our many city facilities. (Businessmen in Joplin, Mo. say that passing this tax has caused a "business boom" in their town.)

WE AGREE — A PENNY WILL DO THE JOB. INVEST IT WISELY IN SOUND LOCAL FINANCING.

VOTE TOMORROW FOR THE 1c CITY SALES TAX.

Paid for by the individual City Directors—Ernest Lancaster, John Todd, Paul Noland, Al Hughes, Marion Orton, Russell Purdy, Morris Collier

APPENDIX 2

CAN YOU AFFORD TO SIT BACK AND LET THIS HAPPEN?

The proposed 1% sales tax is intentionally designed to most affect you if you are among the following

1. middle class working people
2. lower income people
3. students
4. retired people on fixed incomes

If this sales tax passes, a retired widow barely existing on social security will pay (proportionally) more taxes than someone who earns more than $25,000 per year.

That is disgusting and immoral!

Let's put an end to this unfair and disproportionate form of tax.

VOTE NO SEPTEMBER 9th

Political Ad paid for by the NW Arkansas Joint Labor Council. Rex Wright, President

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COMMUNICATING WITH AREA NEWCOMERS

Gerald Crawford, University of North Alabama

ABSTRACT

Communication and marketing are closely dependent on each other. As a matter of fact, the promotion area of marketing is considered to be primarily a communication function. This paper deals with a bank's effort to improve its marketing program by effectively communicating with managerial and professional newcomers to the Florence, Alabama, area.

A study was done to determine if a well designed communication program is helpful to newcomers as well as profitable to the bank. An effort was made to determine what newcomers are concerned about, what services the bank could offer, and what effect this program would have in terms of new business. The evidence shows that the program has been an overwhelming success.

INTRODUCTION

Communication pervades all areas of business. It would be difficult, in fact, to imagine any kind of interpersonal activity which does not depend upon communication in one form or another.[1] To carry this even further, communication can be viewed from a micro level. This is called intrapersonal analysis and the focus is upon individual behavior such as observing, problem solving, thinking, or seeking consumable information.[2]

In the academic world, communication as a discipline is generally considered to be a part of the management curriculum. This is probably as good a place as any, but it is important to understand that the very core of all business activity depends on effective communication. The marketing area is certainly no exception.

This paper deals with promotion, which is one of the ingredients of the marketing mix. Actually, promotion consists of three separate and distinct groups of activities. They are advertising, sales, and sales promotion. Promotion is considered to be the communication function of marketing. It is built around a system of communication tools designed to present a company, its products, and its services to consumers.[3]

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[1] William V. Haney, Communication and Organizational Behavior, Richard D. Irwin, Inc., Homewood, Ill., 1973, p. 1.

[2] Lee Thayer, Communication and Communication Systems, Richard D. Irwin, Inc., Homewood, Ill., 1968, p. 30.

Background

This research centers on one facet of the promotional program of a large and successful bank located in Florence, Alabama. The business building effort involves communication with area newcomers. The purpose is to provide information and assistance to business and professional people before they move into the area. It is hoped that, by providing a real service to future residents, the bank will be in a favored position to acquire the newcomers' patronage once the transition is made. The following pages describe the program in greater detail and offer a brief analysis of its effectiveness.

Last year, this researcher accepted a faculty position at the University of North Alabama in Florence, Alabama. The prospect of making the move, finding housing and schools, and becoming adjusted brought a typical state of mental discomfort. About four weeks after accepting the position, but several months prior to the move, a personal handwritten letter arrived from a bank in the new town. The letter extended a warm welcome to the area and offered several unique services that could possibly make the move easier. In addition, the bank sent a full package of information about the area and a complimentary subscription to the local newspaper. The letter said, "Please contact us if there are any questions you have or if there is anything we can do to make your move easier." There was no sales presentation or indication of hidden motives.

As it turned out, the lady that had written the letter was friendly and helpful. She answered many questions and did other things to relieve the worry regarding the new area and the move. After the move was completed, three accounts were "automatically" opened at the bank. It was soon learned that other new faculty members and friends had received the same attention. It became clear that the newcomer program was, apparently, an effective and mutually beneficial promotional strategy.

Banks and Marketing

Marketing is comparatively new in the banking industry. It was not until the 1960's that banks began adopting and following the principles of the marketing concept.[4] Indeed, there are still some banks today that refuse to assume an alert posture in advertising, marketing research, and even in selling their services. The more progressive institutions, however, realize that they are like any other business. . .they have something that must be sold. Consequently, if they are not successful in reaching and communicating with new or existing customers, they are destined not to reach their full potential. The major force that is bringing change to the industry is the appearance of aggressive new banks, savings and loan associations, and credit unions.

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[3] James F. Engel, Hugh G. Wales, Martin R. Warshaw, Promotional Strategy, Richard D. Irwin, Inc., 1975, p. 13.

[4] American Institute of Banking, Bank Public Relations and Marketing, The American Bankers Association, 1967, p. 4.

Banks, generally, are making better use of advertising, publicity, and sales promotion. The personal selling area has not been as widely used, however. It is true that some banks have instituted officer call programs, but the thrust has typically been one of maintaining "good friendships" in the community. The term "selling" is not widely accepted among bankers, especially among the older and less progressive ones. It would appear that bankers need to be made aware that "selling" is not an ugly word. Selling is nothing more than explaining how a bank can solve problems for people. The emphasis should be on selling through service.[5]

The bank that is involved in the present research has developed a sound program of selling through service. In essence, the bank and its newcomer program helps solve moving problems and reduces worry. This service is targeted toward "substantial" new residents. The reason is that the program is expensive. . .so expensive, in fact, that it would probably be prohibitive if all newcomers were handled in the same manner. The upscale profile of these new residents means more potential in terms of cash flow and in their expected later influence in business and community matters. This group could rightfully be considered opinion leaders, and it is likely that they will later be instrumental in passing product information along to other potential customers.[6]

THE NEWCOMER PROGRAM AND ITS EFFECTIVENESS

The newcomer program is headed by an attractive, well-educated young businesswoman. Each week, she makes personal calls on all area plants, major businesses, the University, and the Chamber of Commerce. The purpose is to obtain the names of management and professional people that will be moving into the four-city Muscle Shoals regional area. She then initiates contact with the parties through letters and an occasional telephone call. The next step is to establish personal contact with the newcomer and family immediately upon arrival in the area. A bank representative then provides a well-planned tour of the city, pointing out churches, schools, hospitals, shopping areas, and other points of interest. Additional services include helping to locate housing, handling utility installations, assisting in school registration, and other matters.

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[5] Reginald G. McHugh, "Sales Training--A Tool for Sales Management," Bank Marketing, Vol. 6 (September 1974), pp. 23-27.

[6] Wayne M. DeLozier, The Marketing Communications Process, McGraw-Hill, Inc., 1976, p. 160.

Transportation, social functions and baby-sitting services are often arranged for the newcomer and family. But, does all this bring in business? Before discussing the effectiveness, it is important to consider the competitive situation in banking in the area.

Competition among financial institutions in the metropolitan Muscle Shoals Area is relatively strong and is expected to become stronger in the months ahead. Presently, there are 4 banks (with 16 locations) in the city of Florence, and 4 banks (with 12 locations) in the immediately-adjacent cities of Sheffield, Tuscumbia, and Muscle Shoals. There are also three savings and loan associations and twenty credit unions in the metropolitan area. In all there are approximately 51 financial "outlets" in the immediate area. Although not all are considered direct competitors in a broad sense, they do compete on the basis of savings accounts and short-term loans. Because of other trends, these institutions could be direct competitors in the near future.

The bank involved in this study is the oldest and largest financial institution in North Alabama. It has assets of approximately 125 million dollars and holds the largest share-of-market in the area. Marketers know the difficulties in being number one. First, competitors seem to target their effort at the leader. Second, because of diminishing returns to scale, the larger firms find it progressively more difficult and less profitable to gain business beyond a certain point. This is especially true in geographically smaller markets. Most businesses in a leadership position find themselves concentrating on a defensive strategy rather than an offensive one. This is not the case with the newcomer program. It appears to be a strong offensive strategy and one that is getting influential new customers.

The newcomer program was started in April of 1974. There were some problems to iron out in the early months, so it was decided to examine a one-year period beginning six months after start-up. Various types of data were gathered on the program for a 12-month period. The analysis was not meant to be highly quantitative or precise from a cost accounting standpoint. For reasons to be discussed later, the gathering and presentation of data was intended to be basically qualitative. This is not at all uncommon with open-ended questions where defensive reactions are not desired.[7] The basic hypothesis suggested is that genuine, friendly and helpful communication with people that are likely in a dissonance-producing situation can result in the development of mutually beneficial long-term relationships. The following data is offered as evidence in confirming the success of the newcomer program.

Between October 1974 and September 1975, 163 persons (or family units) were contacted by the bank's newcomer representative. Contact was made through letters, telephone calls, and personal visits. In many cases, several "transactions" were made with each family unit. Of this total population, 43 family units never arrived in the area while 120 family units arrived, as expected. Closer examination reveals that among 120 family units that moved to the area, 71 opened various accounts at the sponsoring financial institution, while 49 elected to do business elsewhere. This yields a "success rate" of 59 percent. This appears extremely high when the many alternatives are considered.

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[7] David W. Nylen, Advertising: Planning, Implementation, and Control, Southwestern Publishing Co., 1975, p. 116.

The total number of accounts opened and total deposits acquired through the newcomer effort were computed and were felt to be large. These amounts, however, will not be reported since there is danger of misinterpretation. Initial deposits are not truly representative of the total business gained over a more representative period. For example, new residents often open a token account in the new town and continue to bank in the former city until the account balances are depleted. The savings account, also, is frequently left at the old bank until interest is paid at the end of some calendar period.

While the 59 percent "success rate" appears impressive, it is also important to look closer to see if a cause-and-effect relationship exists. It would be revealing to determine if the 71 family units selected the sponsoring bank because of the newcomer efforts or because of other exogenous factors. It would also be helpful to determine reasons why the 49 non-customer family units decided to use a competing bank. These questions could only be answered by newcomers. To get this information, a telephone survey was conducted among stratified, randomly-selected target groups totaling 51 individuals or families.

The questionnaire was carefully developed in order to gain specific information. The study was done as part of normal University research; no business firm or bank was mentioned. Open-ended questions were used so that respondents could volunteer opinions and information. Every effort was made to handle the interviews in a friendly, non-evaluative manner. It was considered important that no person be offended in any way. A large amount of data was obtained, but only relevant findings are reported.

Respondents were asked, "What were the major areas of concern that you had before moving to this area?"

60 percent said "housing"
37 percent said "schools"
35 percent said "community"
21 percent said "my job"
11 percent said "medical facilities"
7 percent said "churches"
(Multiple answers--does not sum to 100 percent.)

Respondents were asked, "Did any person or organization help you in any way regarding your move?"

51 percent rated the sponsoring bank as "most important"
24 percent rated their employer as "most important
11 percent rated real estate agents as "most important"

6 percent rated friends as "most important"
5 percent rated the Chamber of Commerce as "most important"
2 percent rated the Welcome Wagon Organization as "most important"

Respondents were asked, "Can you tell me where you opened a bank account?"

76 percent said "the sponsoring bank"
14 percent said "Competitor B"
9 percent said "Competitor C"

Respondents were grouped by bank and asked, "Can you tell my why you selected that bank?"

Among customers of "the sponsoring bank" (37 observations)

71 percent specifically mentioned the newcomer representative
12 percent said "friends recommended it"
12 percent said "good location"
5 percent said "no reason"

Among Competitor "B" customers, (7 observations)

57 percent said "good location"
14 percent said "friend's recommendation"
14 percent said "a letter from a Vice-President just prior to the move"
14 percent said "no reason"

Among Competitor "C" customers, (3 observations)

66 percent said "free checking account"
33 percent said "a personal visit by a Vice-President after the move"

Respondents were asked, "On a scale of one to five, how do you like the Florence and Muscle Shoals Area?"

Among customers of the sponsoring bank, the arithmetic mean was 4.6

Among customers of competitor "B", the arithmetic mean was 3.2

Among customers of competitor "C", the arithmetic mean was 3.4

SUMMARY AND CONCLUSIONS

Two key factors appear to be important in the success of the program. First, early contact is essential. If the bank waited too long or until the move was made, there would be several other groups "anxious" to help. The goal should be to reach the newcomer as soon as possible in order to beat the crowd of real estate agents, Welcome Wagon hostesses, other banks, and insurance agents. The real value in early contact is that worry or mental dissonance is reduced during the usual period before the move.

A second factor that seems important in this program is that no pressure is brought to bear on newcomers in terms of opening accounts at the sponsoring bank. It is likely that the effort seems more geniune and altruistic when it is not combined with a "sales talk."

Voluntary comments by respondents indicated that geniune interest before the move was sincerely appreciated. Several respondents said, "I would have felt guilty for opening a bank account with a competitive bank."

There is a strong indication that the newcomer representative's efforts are definitely related to success in acquiring influential new accounts. It is interesting to note that 71 percent of the sponsoring bank's new customers attribute the selection of a bank directly to the representative that worked with them. Very frequently, the respondents remembered her name even though it had been several months since the contact.

It appears significant that, among newcomers selecting a competitive bank, the two chief reasons were (1) "good location", and (2) "recommendation of friends." ("Free checking accounts" is probably not significant because of the smaller number of observations.) These two reasons can reasonably be considered valid. It would seem that little can be done promotionally to argue with this reasoning. It would be virtually impossible to have a "best location" for every resident and to have everyone in town as a "good friend."

A last and interesting observation is that the sponsoring bank's customers seem to be more "happy with the area" than do competitor's customers. It is entirely possible that the friendly, genuine, and helpful effort before and during the move could be related to a more positive predisposition than would normally be present.

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MANAGEMENT TO MANAGEMENT COMMUNICATION

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ABSTRACT

Institutional communications, involving information about the institution--the company, are important to managers. This research identifies the institutional communication needs of managers. The analysis reveals how those needs change as the managers' vertical and horizontal positions change. The managers' position in the vertical hierarchy makes a difference in what the organization should communicate to them. Horizontal (or functional) differences are also identified among accountants, engineers, manufacturing personnel, marketing managers and support staff. Many organizations provide their blue-collar employees with information, but white-collar employees are often ignored. The evidence reveals that there is much that companies should be doing in instituting effective white-collar communications.

INTRODUCTION

What are the communication needs and interests of managers? Do these needs and interests change as the managers' vertical and horizontal positions change? Generally, management-to-management communications are assumed to be adequate in most organizations. Therefore, white-collar communications are rarely studied.[1]

The term "employer-to-employee communications" creates the picture of the white-collar manager transmitting information to the blue-collar employee. Companies have established vehicles for relating basic institutional communications to blue-collar employees.[2] But, company communications to managers are often ignored. Institutional communication refers not to technical information employees need to satisfactorily complete their task,[3] but to basic information about the company--the institution. If managers are not informed on institutional topics they will not feel as part of the "management team." As a result, they will be forced to hedge on basic topics, avoid questions, provide incorrect information, and be noncommittal in their dealings with their subordinates.

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[1] Two researchers who have studied white-collar communications are J. M. Jackson and K. Davis; see, Jay M. Jackson, "The Organization and Its Communications Problems," SAM, Advanced Management Journal, (February, 1959), pp. 17-20, and Keith Davis, "Management Communication and the Grapevine," Harvard Business Review, (January-February, 1953), pp. 43-49.

[2] N. Sigband clearly identifies downward communication media; see, Norman Sigband, Communication for Management and Business (2nd ed; Glenview: Scott, Foresman and Company, 1976) pp. 37-40.

In 1974 an extensive communication audit was conducted for a large Midwestern manufacturer of heavy machinery. The study focused on the firm's headquarters location where approximately 1,700 blue-collar and 375 white-collar personnel were employed. The purpose of the research was to determine the effectiveness of the firm's management-to-management institutional communications.

BASIC MANAGEMENT PRINCIPLES RELATING TO THE PROBLEM

There are two principles relating to managerial communications. One, Henri Fayol identified the chain-of-command (scalar principle) in manufacturing organizations.[4] The chain-of-command permits vertical movement of information through the firm. Two, Chester Barnard indicated that a basic principle of management was communication so that managers could be informed, make reliable decisions and be involved.[5]

These two principles (involving organization linkage and information) form a very definite chain-of-communication concept. If the manager's information needs are not satisfied the manager is rendered less effective on the job; if the chain-of-communication series is broken among the white-collar employees much information may never reach other employees in the organization.

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[3] L. Thayer has precisely defined task-oriented communications as "managerial communication." Managerial communication is datum disseminated or consumed in the performance of a task. See, Lee Thayer, Communication Systems (Homewood: Richard D. Irwin, Inc., 1972), p. 103.

[4] "[The chain-of-command or scalar principle is] the chain of superiors ranging from the ultimate authority to the lowest ranks. The line of authority is the route followed--via every link in the chain--by all communications which start from or go to the ultimate authority. This path is dictated both by the need for some transmission and by the principle of unity of command, but it is not always the swiftest. It is even at times disastrously lengthy in large concerns, notable in governmental ones." Henri Fayol, General and Industrial Administration (New York: Pitman Publishing Corporation, 1949), p. 14.

[5] Chester Barnard, The Functions of the Executive (Cambridge: Harvard University Press, 1938).

RESEARCH METHODOLOGY

The company studied had a management communcation vehicle called the MANAGEMENT REPORT. The REPORT's publication schedule was spasmodic, but it was delivered about six times a year to salaried employees at work. A questionnaire was attached to one issue; 46% or 172 were returned via the firm's internal mail system. The instrument was designed to permit easy conversion of the responses to computer cards for analysis by SPSS (the computer package, Statistical Package for the Social Sciences).

The instrument, besides soliciting demographic data (e.g., age, education, primary management responsibility area and level of management), asked the white-collar managers to indicate their interest in twenty-two different topics on a scale of "1" no interest to "7" great interest. (For list of the twenty-two topics, see Appendix A--Overall Topic Rankings by All Managers.) The topics were selected after reviewing the REPORT and meeting with selected managers.

RESEARCH RESULTS

The results are analyzed in four ways. First, an overview of the information managers wanted compared to the status quo is presented. Second, the ranking of topics by all managers is noted. Third, the interest fluxuations dependent upon the managers' vertical position are presented. Fourth, the interest fluxuations dependent upon the managers' horizontal position are analyzed.

HUNGRY MANAGERS

The managers' responses to questions about the current publication revealed a somewhat favorable attitude toward the REPORT. Managers indicated the REPORT was "good," that it was "sometimes" helpful" and the information in the REPORT seemed current.

Although the managers appeared satisfied, when their responses to the topics were analyzed they actually were starved for information. Among the twenty-two topics, 17 received modal ratings of "7." That is, 17 topics were of great interest to the managers. The analysis of previous issues of the REPORT clearly indicated that most of these 17 topics had not been emphasized nor mentioned in the publication. There was an obvious communication gap.

The five remaining topics were important for they revealed the subjects in which managers had considerably less interest. (See Table 1. Topics with Less Than a "7"--Great Interest Mode.)

TABLE 1

TOPICS WITH LESS THAN A "7"--GREAT INTEREST MODE

Rank	Topic	Mode	Mean
17	Supervisory Promotions at the Co.	4	4.81
19	Activities at Other Co. Locations	5	4.65
20	Executive Promotions	5	4.49
21	The Co. Savings Bond Drive	1	3.07
22	The United Fund at the Co.	1	2.89

TOPIC RANKINGS BY ALL MANAGERS

It is recognized that there can be differences among managers. But, when combined, a general thrust for what they feel is important can be determined. The topic rankings by managers combines all white-collar employees and reveals a cumulative mean for each topic. (See Appendix A. Overall Topic Rankings by All Managers.) The individual topics as ranked by all managers appear to fall into seven identifiable categories:

General Financial-Sales	[topics ranked 1 - 5]
External Market Factors	[topics ranked 6 - 9]
Internal Operations	[topics ranked 10 - 12]
Detailed Financial Data	[topics ranked 13 - 16]
Specific Internal Items	[topics ranked 17 - 18]
Company/Corporate Abstractions	[topics ranked 19 - 20]
Societal Issues	[topics ranked 21 - 22]

It appears that overall, they want information on the firm's financial standing and also on those factors external to the organization. These are items that directly affect the firm's progress and thereby the managers' future.

RANKINGS BY LEVEL OF MANAGEMENT

It was assumed that the firm had five levels of management; on the questionnaire the respondents were asked to indicate where they viewed themselves on a five-level scale:

1 = first-line management,
3 = middle management,
5 = top management.

The rankings of the topics were analyzed by the managers' levels. Managers revealed what was important to them at their particular level within the organization. (See Appendix B. Managers' Rankings by Managerial Level.)

Some Specific Topics by Level

At all levels, except for the very top managers, there is a strong interest in profit information [1]*. It can be assumed that top management have profit information readily available and therefore are not interested in seeing it reported in a formal communication. At the upper levels there is a strong interest in the president's thoughts [2], but the first-line managers are less interested. First-line managers, however, want information on competition--company sales compared to competition sales [3] and news of the competition [9]. Managers above the first-line are relatively less interested in information concerning the competition.

Top management are much more interested in union issues (company stand [7] and industry demands [16]) than other managers. The engineering 11 progression is one of the clearest. Engineering refinements seem to be more important to those most directly affected. As one moves farther away from the tangible first-line, interest plummets. No one is enormously interested in management concepts [12]; but, there is more interest among lower level managers than at upper levels. This is probably attributable to upper level managers having more formal education and thereby being better informed on concepts of management.

The difference in managers by levels is clearly indicated on the corporate news [15] topic. This firm is a subsidiary within a conglomerate. The firm's top managers are interested in corporate news--but, interest diminishes among lower-tier managers.

There is considerable unanimity on the topics of supervisory promotions [17], safety [18], activities at other locations [19], executive promotions [20], U.S. bonds [21] and the U.F. drive [22]. Regardless of level, managers are not interested in these topics.

MANAGERIAL LEVEL IMPLICATIONS

There are at least two implications revealed in the data. First, managers are different, have different communication wants and needs, dependent upon where they are in the vertical organization. Second, managers, if they are to maintain the communication chain, must transmit more than information that interests them. What interests a fourth-tier manager can be substantially different from what interests a first-line manager. It appears that institutional communications with managers may necessarily be more diverse than institutional communication with blue-collar employees.

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*Topic's overall rank in bracket [ ].

RANKING BY RESPONSIBILITY AREA

The managers were requested to identify their major function or primary responsibility area--that is, what kind of management assignment did they have? Managers could place themselves in one of five possible responsibility areas:

1. Financial/Accounting,
2. Production/Manufacturing,
3. Marketing,
4. Engineering, and
5. Support Staff.

It has been established that the managers' vertical level in the organization influences what information is important to them. By analyzing responsibility areas it can be determined if the horizontal functional area influences what kinds of information are important to managers. (See Appendix C. Managers' Rankings by Responsibility Area.)

Functional Interest

For managers in Production/Manufacturing, Marketing, and Engineering, there were specific topics relating directly to their function. It is not surprising that managers working in these functional areas ranked the related topics highly. [Production/Manufacturing managers ranked "production procedures" = 3; Marketing managers ranked "marketing procedures" = 3; and Engineering managers ranked "engineering developments" = 3.] However, the managers in the Finance/Accounting area did not seem to have a strong interest in topics related to their function. [Accounting managers ranked "company profits" = 5; "profit centers" = 13; and "company billings" (cash flow) = 17.] This could be attributable to these managers working regularly with financial information.

Unanimity

The analysis by functional area indicates some unanimity at the top (company profits [1]) and bottom (U.S. Bonds [21] and U.F. Drive [22]) of the rankings. Regardless of functional responsibility, managers feel company profit information is important and that information on the firm's U.S. Bond Drive and U.F. Drive is unimportant.

Safety Progression

This firm had a very active ongoing safety program. Although none of these managers would have an actual "hands-on" relationship to the production process, it is interesting that the closer managers are to actual production, the greater their interest in safety. [Accounting managers ranked safety = 20; Engineers = 18; Production/Manufacturing Managers = 14.]

RESPONSIBILITY AREA IMPLICATIONS

Managers are a very diverse group. It is obvious that the managers' jobs influence what is important to them. To attempt to create an institutional communication to serve all managers by responsibility area would be impractical. But, the division heads for the various functional areas can use these data to better understand what kinds of information should be routed to managers working in their respective functional areas.

CONCLUSIONS

If this firm is representative of other companies, there is evidence that white-collar managers are hungry for information and companies may not be addressing the institutional communication needs of their white-collar employees. Recently there has been talk of the "blue-collar blues." Some companies have attempted to take the "blues" out of the blue-collar job by bettering their communications with these employees. But, regardless of how well the company communicates with the customer, the community and the blue-collar employee--if the company is ignoring and not communicating with its fellow management, the organization cannot sustain itself indefinitely. There is a danger that managers at different levels and managers of different functions may become isolated from the company's basic objectives. What has previously been treated as solely a blue-collar problem--the "blue-collar blues"--may become a phenomenon of managers and unfortunately leave a rather distinctive ring around the white-collars of management.

APPENDIX A

OVERALL TOPIC RANKING BY ALL MANAGERS

Rank	Topic	Mean	Managerial Interest
1	Company's Profits (and losses)	6.10	General Financial Sales
2	Company President's Thoughts on Business Outlook	5.72	
3	Company Sales Compared to Competition's Sales	5.58	
4	Company Bookings (orders)	5.56	
5	New Production Procedures at the Company	5.50	
6	Company Sales Forecasts	5.44	External Market Factors
7	Company Stand on Union Issues	5.43	
8	The Marketing of the Company's Products	5.42	
9	The Company Competition	5.41	
10	Company Profit Center Analysis	5.40	Internal Operations
11	Engineering Developments at the Company	5.38	
12	Management Concepts (how to be a better supervisor)	5.29	
13	Industry-Wide Business Outlooks	5.24	Detailed Financial Data
14	Company Billings (cash flow)	5.17	
15	Corporate News	4.97	
16	Union Demands Within the Industry	4.94	
17	Supervisory Positions at the Company	4.81	Specific Internal Items
18	Safety	4.69	
19	Activities at Other Company Locations	4.65	Company Corporate Abstractions
20	Executive Promotions at the Corporation	4.49	
21	The Company U.S. Savings Bond Drive	3.07	Societal Topics
22	The U.F. Drive at the Company	2.89	

APPENDIX B

MANAGERS' RANKINGS BY MANAGERIAL LEVEL

Topic	Level 1	Level 2	Level 3	Level 4	Level 5
1. Co. Profits	1	1	1	1	6
2. Pres. Thoughts	7	3	2	2	1
3. Co. Sales to Compet.	2	10	4	8	12
4. Co. Bookings (orders)	6	4	8	7	8
5. Production Procedures	9	9	3	5	10
6. Co. Sales Forecast	8	12	9	11	3
7. Co. on Union Issues	14	5	7	6	2
8. Marketing Co. Product	4	12	5	3	4
9. Co. Competition	3	15	10	13	13
10. Profit Centers	12	2	11	4	14
11. Engineering Develop.	5	8	6	13	15
12. Management Concepts	10	7	12	20	17
13. Industry Bus. Outlook	11	6	13	15	18
14. Co. Billings	13	11	13	9	8
15. Corporate News	17	14	16	10	7
16. Intry. Union Demands	16	18	15	17	5
17. Supervisory Promotion	15	16	18	19	16
18. Safety	18	19	19	16	19
19. Activ. Other Location	20	17	17	12	11
20. Co. U.S. Bond Drive	21	21	21	22	21
22. Co. U.F. Drive	22	22	22	21	22

APPENDIX C

MANAGERS' RANKINGS BY RESPONSIBILITY AREA

		FA	Prod/Mfg	Mktg	Eng	S Staff
1.	Co. Profits	5	1	1	2	1
2.	Pres. Thoughts	1	2	6	9	2
3.	Co. Sales to Compet.	9	8	2	1	12
4.	Co. Bookings	14	4	3	11	3
5.	Production Proc.	6	3	13	5	14
6.	Co. Sales Forecast	19	7	7	8	19
7.	Co. on Union Issues	1	6	17	5	5
8.	Mktg. Co. Product	8	12	3	13	6
9.	Co. Competition	9	13	5	4	9
10.	Profit Centers	13	11	8	7	4
11.	Engineering Develop.	16	9	11	3	8
12.	Management Concepts	7	5	12	17	13
13.	Industry Bus. Outlook	18	9	9	11	14
14.	Co. Billings	17	14	10	16	6
15.	Corporate News	3	17	14	15	16
16.	Intry Union Demands	14	16	19	10	19
17.	Supervisory Promotion	9	18	18	19	11
18.	Safety	20	14	20	18	20
19.	Act. Other Location	4	19	16	14	18
20.	Exec. Pro. at Corp.	9	20	15	20	17
21.	Co. U.S. Bond Drive	21	21	21	21	21
22.	Co. UF Drive	22	22	22	22	22

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PART 4

NEW METHODS, TECHNIQUES, GAMES IN BUSINESS COMMUNICATION

AN EXPERIMENTAL APPROACH TO TEACHING FACTORS OF LEADERSHIP EMERGENCE, MORALE AND EFFICIENCY IN SMALL GROUP COMMUNICATION NETWORKS

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ABSTRACT

The present study is an experimental approach to teaching factors of leadership emergence, morale and efficiency in small group communication networks. This method has been found effective in allowing students in organizational communication classes to conceptualize some of the more abstract principles of small group communication from their own experiences. Data are generated from centralized and decentralized problem-solving groups to illustrate the effect of network patterns on group process.

PROBLEM

Many researchers in small group communication have reported findings which seem to establish a positive correlation between leadership emergence and degree of network centrality.[1] Specifically it has been reported that a leader emerges in a wheel network more often than in chain or Y networks and that leadership emergence is more frequent in these three patterns than in a circle network. General support has also been found to indicate a negative correlation between group member's satisfaction with their experience and network centralization.[2] Again Shaw has found that decentralized communication networks are usually more efficient in the solution of "complex problems" than centralized groups.[3]

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[1] M. E. Shaw and G. H. Rothschild, "Some Effects of Prolonged Experience in Communication Nets," Journal of Applied Psychology, 1956, 40, pp. 281-286.

[2] H. J. Leavitt, "Some Effects of Certain Communication Patterns on Group Performance," Journal of Abnormal and Social Psychology, 1951, 46, pp. 38-50.

[3] M. E. Shaw, "Some Effects of Unequal Distribution of Information Upon Group Performance in Various Communication Nets," Journal of Abnormal and Social Psychology, 1954, 49, pp. 547-553.

Based on the above findings the present study sought to establish the effect of seating arrangement on leadership emergence, morale and efficiency in small group problem-solving situations typical of those used in teaching small group communication. The task of applying theory and research to the classroom setting is a problem which continually faces the teacher of communication. Principles which may be discussed in the abstract often become vague and confusing in application to practice. An experimental approach was adopted as a vehicle for illustrating these basic principles of communication in a classroom setting. Three hypotheses were selected for testing[4]:

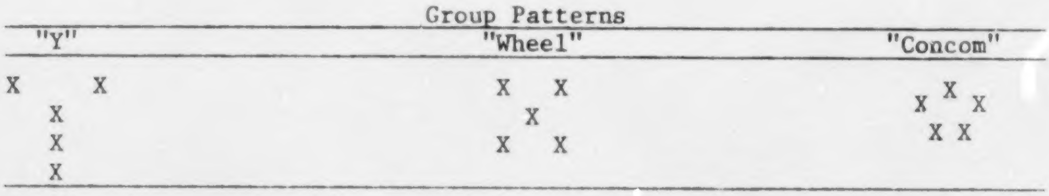
1. A leader is more likely to emerge in a centralized communication network than in a decentralized network.
2. Group members have higher morale in decentralized than in centralized communication networks.
3. A decentralized communication network is most efficient when the group must solve complex problems.

Leadership was defined as the person whose participation was most helpful in the group's accomplishment of the task. Morale was operationalized as the mean rating for each group of individual responses on a 5 point scale ranging from satisfied to not satisfied. Efficiency was judged on the basis of time required for task completion and correctness of result.

METHOD

Students in organizational communication classes were randomly divided into groups of five subjects each. Total subjects for the study consisted of 105 students in 21 groups. This was done as the first group communication exercise to avoid any established leadership patterns. The groups were separated in a large classroom so that conversations could not be overheard between groups and the chairs were arranged in the patterns of a "Y", a "wheel", and a "concom" (Figure 1). Group members were

FIGURE 1



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[4] M. E. Shaw, Group Dynamics: The Psychology of Small Group Behavior, New York: McGraw-Hill, 1971, pp. 137-153.

assigned to positions at random in the centralized and decentralized networks and instructed not to move their chairs. No group leaders were appointed by the instructor.

Shaw defines a "complex problem" as one in which "information must be collected in one place and operations must be performed upon it before the solution can be known".[5] To meet this criterion a mathematical problem was selected (Appendix A) which used nonsense words to represent units of time, distance, and speed.[6] Information necessary to solve the problem was typed on 26 cards and randomly distributed to group members so that each subject would have only a portion of the information needed. The subjects were instructed to retain in their possession the cards that had been distributed to them at all times and to share the information only in an oral manner. Each group reported directly to the experimenter when a solution had been reached which was satisfactory to all group members. The solution decided upon and the time required for completion were recorded by the experimenter. The groups were told at the start that only 20 minutes would be allowed for completion of the task.

The present study differed from previous research concerning these hypotheses in that normal classroom conditions were used. No physical barriers were used to direct the flow of communication. Subjects were free to communicate verbally and nonverbally with all other members of their group, with only the arrangement of the chairs establishing network patterns. Due to this factor it was necessary to use the "concom" pattern for a decentralized network rather than the "circle" used in some studies.

At the conclusion of the experiment each subject was asked to complete a short questionnaire to determine his perception of who emerged as the group leader and his personal degree of satisfaction with the experience.

RESULTS

Analyses of the data appear to indicate that the mere physical arrangement of positions in small groups has an effect on leadership emergence, group morale and efficiency. Table 1 summarizes the leadership emergence data obtained from the questionnaire (Appendix B). The first hypothesis, that "a leader is more likely to emerge in a centralized communication network" can be illustrated by the greater number of leaders identified in "concom" (decentralized) networks compared to the

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[5] Ibid.

[6] G. Meyers and M. Meyers, Instructors Manual for: The Dynamics of Human Communication, New York: McGraw-Hill, 1973, pp. 60-62.

"Y" and "wheel" (centralized) patterns. Both centralized networks averaged 2 leaders across all groups while the decentralized pattern produced a mean of 3.57 leaders.

TABLE 1

Number of Leaders Identified Per Group

	Networks		
Groups	"Y"	"Wheel"	"Concom"
1	2	2	4
2	2	1	3
3	2	2	4
4	3	3	4
5	3	2	4
6	1	2	3
7	1	2	3
Net. Means	2.0	2.0	3.57

Group satisfaction scores (table 2) were obtained for each group by summing the satisfaction ratings of each subject. Lower scores indicate less satisfaction with the group experience and higher scores indicate greater satisfaction. The lowest possible group satisfaction score was 5 and the highest possible score was 25. Again a trend can be observed which indicates a lower degree of satisfaction for members of centralized groups and a higher degree of satisfaction for subjects in decentralized networks. Network mean scores ("Y" = 14.57, "wheel" = 18.85, "concom" = 23.0) indicate a trend of progressively greater satisfaction. One tailed t tests were conducted on the difference between network mean scores (table 2). Non-significant results were obtained for the means of the two centralized patterns indicating no significant differences between the satisfaction ratings of these groups. However, significant results were obtained when tests were conducted between the decentralized network mean and the means of each centralized network. Both comparisons yielded an increase in satisfaction for the decentralized network that was significant at the $p<.05$ level. These results are in agreement with the second hypothesis: "Group members have higher morale in decentralized than in centralized communication networks."

TABLE 2

Satisfaction Scores* by Group and Network

	Networks		
Groups	"Y"	"Wheel"	"Concom"
1	12	16	22
2	17	18	21
3	9	9	25
4	11	22	24
5	20	22	22
6	9	24	23
7	24	21	24
Net. Means	14.57	18.85	23.0
t tests for significant difference	$p>.05$	$p<.05$	
	$p<.05$		

*Scores computed from a 5 point rating scale for each group member.

Group scores were tabulated by summing member ratings:
Lowest Possible Score = 5 (least satisfaction)
Highest Possible Score = 25 (most satisfaction)

The third hypothesis, "a decentralized communication network is most efficient when the group must solve complex problems," was operationalized in the data found in tables 3 and 4. Table 3 reveals that the time required to reach a decision is less for the decentralized networks than for the centralized networks. Again, a trend can be observed from centralized to decentralized networks: "Y" = 18.71 min., "wheel" = 12.28 min., "concom" = 10.21 min.. The quality of each group's decision is represented in table 4 by correct and incorrect answers. Once more, a trend can be identified which shows more correct answers for the decentralized networks. When efficiency is defined in terms of least time required to reach a decision and correctness of decisions the results of the present study agree with the third hypothesis.

TABLE 3

Time Required for Decision*

	Networks		
Groups	"Y"	"Wheel"	"Concom"
1	26	22	13.5
2	10	9	16
3	27	13	5
4	22	15	7
5	9	10	6
6	21	7	14
7	16	10	10
Net. Means	18.71	12.28	10.21

*Time indicated in minutes

TABLE 4

Quality of Decision*

	Networks		
Groups	"Y"	"Wheel"	"Concom"
1	-	-	+
2	-	+	+
3	+	+	+
4	+	+	+
5	+	+	+
6	-	+	+
7	+	+	+
Number correct	4	6	7
Number incorrect	3	1	0

* + = correct answer
- = incorrect answer

DISCUSSION

The results described above have been used to illustrate the effects of communication network structure in class discussions of related topics. This method has been found effective in allowing communication students to conceptualize some of the principles of small group communication from their own experiences. Class discussion of tabulated data similar to those presented here helps to focus attention on the emergence of leadership, group morale and efficiency in the various networks. Discussion of the trends which appear to indicate a progression of centralization are of particular value at this stage. In each case the poorest overall performance is indicated for the very hierarchial "Y" network. Students readily recognize the relationship of this network to a hierarchial organization chart and are able to discuss the effects of filtration and isolation in hierarchial organizations. The relatively improved performance of the "wheel" and "concom" groups provide the basis for a meaningful discussion of the advantages of more participative decision-making techniques.

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APPENDIX A

Problem-Solving Task Instructions*

Pretend that lutts and mipps represent a new way of measuring distance, and that dars, wors, and mirs represent a new way of measuring time. A man drives from Town A through Town B and Town C, to Town D. The task of your group is to determine how many wors the entire trip took. You have twenty minutes for this task. Do not choose a formal leader.

You will be given cards containing information related to the task of the group. You may share this information orally, but you must keep the cards in your hands throughout.

PROBLEM SOLUTION DATA: Printed Cards to be Distributed Among Group Members

How far is it from A to B?	It is 4 lutts from A to B.
How far is it from B to C?	It is 8 lutts from B to C.
How far is it from C to D?	It is 10 lutts from C to D.
What is a lutt?	A lutt is 10 mipps.
What is a mir?	A mir is a way of measuring time.
How many mirs are there in an hour?	There are two mirs in an hour.
How fast does a man drive from A to B?	The man drives from A to B at the rate of 24 lutts per wor.
How fast does the man drive from B to C?	The man drives from B to C at the rate of 30 lutts per wor.
What is a mipp?	A mipp is a way of measuring distance.
How many mipps are there in a mile?	There are 2 mipps in a mile.
What is a dar?	A dar is 10 wors.
What is a wor?	A wor is 5 mirs.
How fast does the man drive from C to D?	The man drives from C to D at the rate of 30 lutts per wor.

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*Adapted from: G. Meyers and M. Meyers, Instructors Manual for: The Dynamics of Human Communication, New York: McGraw-Hill, 1973, pp. 60-62.

APPENDIX B

Please answer all of the following questions as completely as possible.

1. Whose participation was most helpful in the group's accomplishment of the task?

   ____ (more than one answer possible)

   What did he/she do that was helpful?

2. Whose participation seemed to hinder the group's accomplishment of the task?

   ____ (more than one answer possible)

   What did he/she do that seemed to hinder?

3. What feeling reactions did you experience during the problem-solving exercise? If possible, what behavior evoked a feeling of response on your part?

4. What role(s) did you play in the group as it worked on the task?

5. Indicate below with a check mark your degree of satisfaction with the group experience.

   Very Satisfied ___:___:___:___:___ Very Dissatisfied

CONCEPTUALIZING PLANNED VS UNPLANNED COMMUNICATIONS

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ABSTRACT

Planned communication can be proved better than unplanned communication by conceptualizing this fact through involvement by students in an exercise.

Students are used in groups of three and there are two groups. The first group is given a communications problem in numbers to solve without benefit of planning or feedback. The second group is allowed to plan a solution to the problem and then is given feedback as the problem progresses.

The exercise proves that a planned communication system is superior to an unplanned system. More important the concept is retained since the individuals are involved in the activity.

INTRODUCTION

Planned communication is better than unplanned communication--at least in 99 percent of the cases. However, the instructor who just tells students about this and other concepts fails to use the psychology of learning and, more important, the psychology of retention. To conceptualize, which is the essence of learning, students must be involved in the learning process, with the instructor acting as the initiator and guide.

To explain how an environment can be created to increase the probability of conceptualizing planned vs unplanned communication by involving students is the purpose of this article.

Importance

Nothing is more dull or deadly to a class than to have a presentation read in a monotonous, soft spoken voice. To communicators, the preceding statement should be obvious, but unfortunately in a number of instances we do not practice what we preach. For every communication action, we want a reaction. Dull presentations will get one reaction--the class will go to sleep and will not conceptualize anything but fantasies in their dreams--all on your classroom time.

Procedure

Conceptualizing anything requires involvement by the individual. Therefore, people must be involved to conceptualize planned and unplanned communication. First, get three students (volunteers) and have them stand in separate corners, face to the wall, eyes closed. The directions are these: "I'm going to call out a number from 1 to 30. You are each to raise a number of fingers with the idea that the sum of fingers all three of you together raise will equal the number I call. Do you understand these directions?" Then, a number, such as 22, is called. Each student raises a number of fingers. No feedback is given. Two or three more numbers are called--all numbers that cannot be divided by three. Generally, the students will not get the fingers and the numbers correct. However, sometimes they will.

Next have three other students volunteer. This time give them time to plan how to get the fingers to equal the number. The easiest way is to number themselves. Student 1, Student 2, and Student 3. Student 1 will hold up fingers for every number called from 1-10. Student 2 picks up at 11 and goes through 20. Student 3 comes into play at number 21 through 30. Therefore, if the number 23 is called, Student 1 holds up ten fingers, Student 2 holds up ten fingers, and Student 3 holds up three fingers. Some instructors may find it simpler to give these directions to the students either before the class begins or during class take them out in the hall for a minute for planning.

To go one step beyond, ask three other students to volunteer. This time call out numbers that are divisible by 3, such as 9, 12, 15, and so on. They will get these correct. Then you can start the non-divisibles by three to see how many they can get. This helps to prove the principle that those in the same communication channel tend to develop the same outlook.

Conclusion

Students participating in this exercise find that the group which is allowed to plan always has a far superior communication system than the group who is not allowed planning time.

The group which is taken through the same communication channel (example 3) will also normally have a superior communication system when compared with the group which did no planning. A superior system is defined as one with the most correct responses.

Some authorities have indicated that we learn by taste, 1% of all we learn; by touch, 1½%; by smell, 3½%; by hearing, 11%; and by sight, 83%.

Perhaps more important are the retention percentages. We retain 10% of what we read, 20% of what we hear, and 30% of what we see. If we combine seeing and hearing we retain 50%. We retain 70% of what we say as we talk; however, if we participate in an act, the retention rate goes to 90%.

Therefore, if students are involved in an activity that uses planned and unplanned communication they will retain this concept. If someone just tells them that planned communication is superior to unplanned communication, they may retain 20% of what is said, or perhaps only 20% of those who hear will learn the concept.

PART 5
CURRENT RESEARCH IN BUSINESS COMMUNICATION

EFFECTIVENESS OF ORDER OF INFORMATION IN VARIOUS BUSINESS COMMUNICATION SITUATIONS

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ABSTRACT

This paper presents the results of three studies which investigated the relationship between order of information in persuasive business communication situations and the effectiveness of those messages as measured by responses. The situations used in the investigation consisted of a questionnaire cover letter, a promotion letter, and a collection letter. All potential respondents in each letter were sent a letter identical in all aspects except for the order of information. None of the three experiments produced any results that would indicate a relationship existing between order of information and effectiveness of responses as measured by responses.

INTRODUCTION

Many teachers of business communication have questioned the importance of following a specific order of information for a certain business letter-writing situation. Several business communication textbooks advocate particular letter plans for different situations. This paper presents the results of three experiments which were undertaken to investigate the relationship between order of information and the effectiveness of persuasive request business letters.

RESEARCH METHODOLOGY

The three experiments conducted consisted of a persuasive collection letter for a hospital sent to 469 potential respondents, a promotion letter of a small town department store sent to 731 potential respondents, and a questionnaire cover letter used to survey members of an honorary business fraternity sent to 419 potential respondents. The potential respondents in each of the three different experiments were divided randomly into six groups. An appropriate persuasive request letter was written for each of the experiments. Each of the six groups of potential respondents in the different experiments was sent a letter identical in all aspects except for the order of information. The letters for each of the three experiments were constructed so that the order of information of each letter could be rearranged to create six different coherent letters for each of the three experiments.

The first group in each experiment was sent a letter with the order of information often advocated by business communication textbooks--attention, development, and action.[1] Each of the other five groups in each experiment was sent a letter with a different order of information. (See Tables I, II, III in Appendix for the order of information used with each group.)

In each experiment, every effort was taken to present the letters in a realistic setting. Appropriate stationery and envelopes were used as well as conventional styles of letter forms. The Appendix contains examples of the six letters used in the promotion experiment illustrating the various orders of information. As has previously been stated, the only variable that was altered for each group was the order of information. All other elements of the letters including signature, type of stationery, enclosures, etc. were the same for each group.

The criterion of effectiveness of the letters was the number of responses obtained. The standards for a valid response from the letters were defined and specified for each situation. In the collection letter experiment for the hospital, only full or partial individual payments on accounts during a one month period, by cash or insurance, were included as responses. In the promotion letter of a small town department store, the criterion of effectiveness was the number of respondents who complied with the letter in all aspects. Complete compliance involved the respondents coming into the department store during a two week specified time period bringing their letters with them. In the questionnaire cover letter, questionnaires fully and partially completed, as well as responses of individuals who did not answer the questionnaire but indicated why they did not, were counted as responses.

RESULTS

Tables I, II, and III in the Appendix show the number of respondents and non-respondents for each of the three experiments respectively. A chi-square test was used to determine if any significant relationship existed between the order of information of the six groups in each experiment and the effectiveness of the message as measured by responses.[2]

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[1] For example see: Morris Wolf and Robert Aurner, Effective Communication in Business, 6th ed., Cincinnati, Ohio: South-Western Publishing Co., 1974, pp. 339, 359-383. Herta A. Murphy and Charles E. Peck, Effective Business Communication, 2nd ed., New York, New York: McGraw-Hill Inc., 1976, pp. 310-325, 458-461. J.H. Menning and C.W. Wilkinson, Communicating Through Letters and Reports, 4th ed., Homewood, Illinois: Richard D. Irwin, Inc., 1967, pp. 62, 65-66, and 308-313.

The findings of all three experiments support the hypothesis that there is no significant relationship between the order of information of the persuasive request letters and the effectiveness of these letters as measured by responses. As the tables indicate, the attention, development, and action order of information, in comparison with the others, did not produce the highest number of responses.

Based on these findings, a conclusion which can be drawn from the data is that no evidence was produced which would support the concept of a particular order of information, such as the often advocated attention, development, and action order, as having any significant influence on the effectiveness of a persuasive request letter as measured by responses. This underlines the question of whether a particular order of information should be stressed in business communication classes.

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[2] For explanation of conducting chi-square test see: Samuel B. Richmond, Statistical Analysis (2nd ed., New York: The Ronald Press Co., 1964), pp. 295-301 and 577.

APPENDIX 1

TABLE I

Number of Respondents and Non-Respondents in Each of the Six Groups in the Collection Letter Experiment

Groups[a]	Respondents	Non-Respondents	Total
I	9 (11.5%)	69 (88.5%)	78
II	15 (18.5%)	66 (81.5%)	81
III	8 (10.3%)	70 (89.7%)	78
IV	11 (15.1%)	62 (84.9%)	73
V	12 (15.0%)	68 (85.0%)	80
VI	12 (15.2%)	67 (84.8%)	79
Total	67 (14.3%)	402 (85.7%)	469

[a] The order of information for the different groups in the collection letter experiment was:

Group I - attention, development, and action
Group II - development, action, and attention
Group III - action, development, and attention
Group IV - development, attention, and action
Group V - action, attention, and development
Group VI - attention, action, and development

Computed chi-square value is 2.8227. Theoretical chi-square value is 11.070 for .05 level of significance with five degrees of freedom.

APPENDIX 2

TABLE II

Number of Respondents and Non-Respondents in Each of the Six Groups in the Promotion Letter Experiment

Groups[a]	Respondents	Non-Respondents	Total
I	40 (32.5%)	83 (67.5%)	123
II	27 (22.5%)	93 (77.5%)	120
III	29 (23.6%)	94 (76.4%)	123
IV	37 (30.1%)	86 (69.9%)	123
V	42 (34.4%)	80 (65.6%)	122
VI	29 (24.2%)	91 (75.8%)	120
Total	204 (27.9%)	527 (72.1%)	731

[a] The order of information for the different groups in the promotion letter experiment was:

Group I - attention, development, and action
Group II - development, action, and attention
Group III - action, development, and attention
Group IV - development, attention, and action
Group V - action, attention, and development
Group VI - attention, action, and development

Computed chi-square value is 7.8917. Theoretical chi-square value is 11.070 for .05 level of significance with five degrees of freedom.

APPENDIX 3

TABLE III

Number of Respondents and Non-Respondents in Each of the Six Groups in the Questionnaire Cover Letter Experiment

Groups[a]	Respondents	Non-Respondents	Total
I	35 (50.7%)	34 (49.3%)	69
II	48 (67.6%)	23 (32.4%)	71
III	34 (50.0%)	34 (50.0%)	68
IV	44 (62.9%)	26 (37.1%)	70
V	41 (57.7%)	30 (42.3%)	71
VI	42 (60.0%)	28 (40.0%)	70
Total	244 (58.2%)	175 (41.8%)	419

[a] The order of information for the different groups in the questionnaire cover letter experiment was:

Group I - attention, development, and action
Group II - development, action, and attention
Group III - action, development, and attention
Group IV - development, attention, and action
Group V - action, attention, and development
Group VI - attention, action, and development

Computed chi-square value is 6.7710. Theoretical chi-square value is 11.070 for .05 level of significance with five degrees of freedom.

APPENDIX 4

LETTER - GROUP I

Did you know that we at ABW appreciate your business? Far too often firms don't let their best customers know how much their business is appreciated. ABW has an inexpensive but useful gift for you to show you we do appreciate your business and think of you as a friend as well as a customer.

Our policy at ABW over the nearly 100 years we have been in business has been to carry high-quality merchandise, stand behind and guarantee each item as advertised, and give satisfaction to you, our customer and friend. Some of the nationally advertised lines you will find at ABW are Nelly Don and Forever Young dresses, Mary Grey hosiery, Kickernick lingerie, Ship 'n Shore blouses, Bostonian shoes, Munsingwear apparel, and Career Club shirts.

Now that spring is here, the "second gift season" is just around the corner. You will find spring and summer fashions now in our stocks which we feel you would be interested in for yourself as well as for gifts for Mother's Day, Father's Day, and graduation. Don't forget that your purchases can now be charged on your BankAmericard.

If you will bring this letter with you to ABW any time during the next two weeks, May 3-15, you will receive the small gift we have for you. This is our way of showing you we mean it when we say thank you for being one of our regular customers. Come in and see our new spring and summer merchandise while you visit with us at one of the oldest and best-known stores in East Ridge.

Sincerely,

APPENDIX 5

LETTER - GROUP II

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APPENDIX 6

LETTER - GROUP III

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APPENDIX 7

LETTER - GROUP IV

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APPENDIX 8

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APPENDIX 9

LETTER - GROUP VI

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THE EFFECT OF MORAL JUDGMENTS ON LEADERSHIP STYLES

Phillip V. Lewis, Oklahoma State University
John W. Williams, Oklahoma State University

ABSTRACT

This study proposes to establish a foundation upon which the complex issue of moral judgment and leadership style may be investigated. If the style of leadership at the top affects the styles of leadership throughout an organization, it should logically follow that the level of moral judgments of a leader at the top also will directly affect the moral judgments of other leaders within the same organization. The null hypothesis of this research--there is no significant correlation between leadership styles and stages of moral development--may be rejected.

INTRODUCTION

Thy style of leadership at the top of an organization directly affects the styles of leadership and methods of communication throughout that organization. A hard-driving, task-oriented leader will impart that style to leaders at lower levels. This type of leader will be interested in the work side of the job (planning and organizing). He will communicate only information necessary to get the tasks done on time. Conversely, a "team" leader tends to encourage cooperation and provides a trusting climate. His communication system will be much more open than the leader who puts emphasis on task-oriented relationships, and that atmosphere will be imparted to leaders at the lower levels of the organization.

It should logically follow that since leadership styles affect others, the level of moral judgments of a leader at the top also will directly affect the moral judgments of others within the same organization. Several questions arise, therefore, regarding this assumption: First, is the assumption accurate? Second, what are the moral judgments of business leaders? Third, is there a relationship between leadership style and moral judgment. And fourth, if all of the above is true, then so what?

THE PROBLEM

The purpose of this study will be to establish a foundation upon which the complex issue of moral judgment and leadership style may be investigated. In this early stage of development the researchers propose to investigate the following null hypothesis:

H1 There is no significant correlation between leadership styles and stages of moral development.

More, specifically:

$H1_1$ There is no significant correlation between 9, 9 management and stages 5 & 6 of moral development.

$H1_2$ There is no significant correlation between 9, 1 management and stages 4 & 5 of moral development.

$H1_3$ There is no significant correlation between 5, 5 management and stages 3 & 4 of moral development.

$H1_4$ There is no significant correlation between 1, 9 management and stages 2 & 3 of moral development.

$H1_5$ There is no significant correlation between 1, 1 management and stages 1 & 2 of moral development.

DEFINITION OF TERMS

There are two terms used in this paper that may need explanation--leadership style and moral development.

Leadership Style

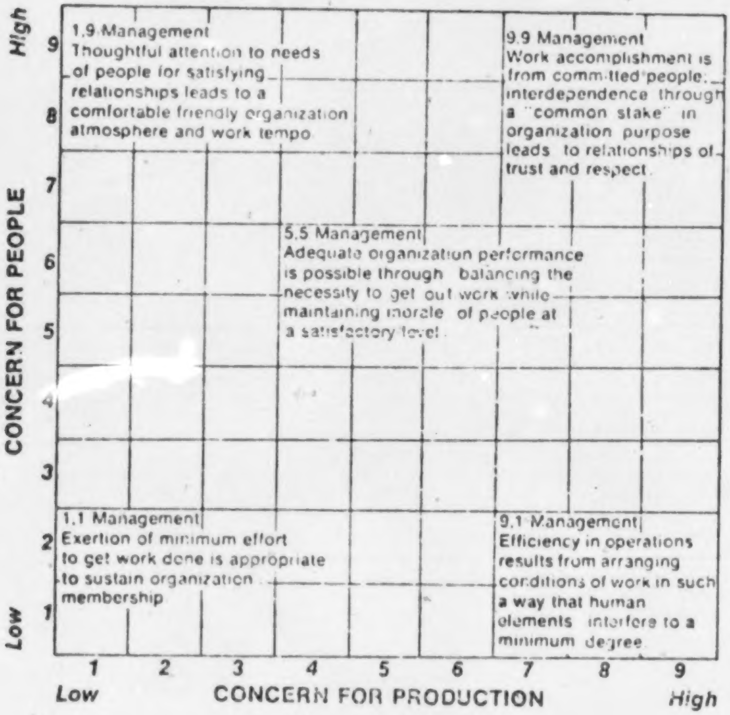
Leadership style is defined as the degree to which an individual shows both concern for tasks and concern for people as measured by a questionnaire (Appendix A) and plotted on the Managerial Grid designed by Robert Blake and Jane Mouton (Figure 1).

The Managerial Grid is a two-dimensional approach to management study with a range of possible interactions between the two dimensions. The horizontal axis indicates concern for production while the vertical axis indicates concern for people. Each is expressed as a nine-point scale; the number 1 in each instance represents minimum concern and the 9 stands for maximum concern.

At the lower left corner of the Grid is the 1, 1 style ("impoverished"). Managers with a 1, 1 orientation exert minimum influence in their contacts with others; little concern for production or people is expressed. In a supervisory position, this person is most likely to be found executing messenger-carrier functions; i.e., communicating orders from the level above to the level below.

At the top left corner of the Grid is the 1, 9 style ("country club"). Under a 1, 9 orientation the work tempo is comfortable; people are encouraged rather than driven. Subordinates are expected to turn out some work to avoid trouble. Human relations are important in and of themselves. The group is the key unit of the organization.

FIGURE 1


1.9 Management
Thoughtful attention to needs of people for satisfying relationships leads to a comfortable friendly organization atmosphere and work tempo
9.9 Management
Work accomplishment is from committed people; interdependence through a "common stake" in organization purpose leads to relationships of trust and respect.
5.5 Management
Adequate organization performance is possible through balancing the necessity to get out work while maintaining morale of people at a satisfactory level.
1.1 Management
Exertion of minimum effort to get work done is appropriate to sustain organization membership
9.1 Management
Efficiency in operations results from arranging conditions of work in such a way that human elements interfere to a minimum degree
CONCERN FOR PEOPLE
High
Low
9
8
7
6
5
4
3
2
1
1
2
3
4
5
6
7
8
9
Low
CONCERN FOR PRODUCTION
High

Managerial Grid[1]

In the lower right corner is the 9, 1 style ("task"). Under a 9, 1 orientation a managerial assumption is that people are to be regarded as instruments of production. The use of hierarchical power, in the authority-obedience sense, is the basis of control. Supervision of production places heavy emphasis on task and job requirements.

In the upper right corner is the 9, 9 style ("team"). The 9, 9 orientation aims at integrating the two aspects of work--management of production and people--under high concern for both. The key is involvement and participation of those responsible for it in work planning and execution. A major difference between 9, 9 and other managerial styles is the use of goal setting as a basic management approach.

In the center of the Grid is the 5, 5 style ("dampened pendulum"), which is the middle-of-the-road or an intermediate amount of both kinds of concerns. The 5, 5 managerial orientation is the carrot-and-stick approach in which the work direction is welcomed by a realistic consideration that friction among people is just as costly to production as it is to poorly maintained machines. Rather than integration, however, this style tends to develop two counter-balancing systems--a formal system and an informal one, which tell how work really gets done, and who, in fact, has power and influence.

---

[1] Robert R. Blake and Jane S. Mouton, "Managerial Facades" Advanced Management Journal, July, 1966, p. 31.

Which is the best style? Blake and Mouton report that managers rank the styles in the following order: 9, 9 is the soundest way to manage, 9, 1 is next, and 5, 5 is third. It would seem to logically follow, then, that 1, 9 is fourth and 1, 1 is last. However, Blake and Mouton recommend using the managerial style that works best.

Moral Development

Moral development is defined as the three levels or six stages of moral reasoning developed by Lawrence Kohlberg (Table 1). Essentially, Kohlberg identified six stages of moral judgment, two stages occurring at three distinct levels. Appendix B is the questionnaire used in this study to identify the six stages of moral judgment.

LIMITATIONS

There are three inherent weaknesses in this study. The first limitation may be traced to the validity and reliability of the questionnaire utilized to define management style. The second limitation is similar in nature to the first limitation; the validity and reliability of the instrument utilized to measure the levels of moral development may be questioned. A third limitation centers on the validity of the Kohlberg thesis. Kohlberg claims cross-cultural validation of the stages of moral development. He cites his own as well as other research efforts to justify the claim. A summary of moral development is presented in this study.

DELIMITATIONS

The findings, conclusions, and generalizations reported in this study shall apply to students associated by major fields of study within the College of Business Administration at Oklahoma State University and all other populations judged to be similar.

SIGNIFICANCE OF THE STUDY

Today there are charges that American business leaders are morally bankrupt. Post-Watergate disclosures of illegal contributions to American political campaigns as well as outright bribes to political officeholders in foreign capitals by American business leaders makes this issue real. If prison sentences were given for these crimes, corporate officers and board chairmen of many of America's most respected firms would be in jail today.

A study of this nature, therefore, is overdue in the field of management and communications. Numerous researchers have studied the communication ramifications of leadership styles (Evans, 1970; Hersey and Blanchard, 1967; Likert, 1967; Reddin, 1970). Several researchers have investigated moral development (Dewey, 1920s; Piaget, 1948; Kohlberg, et al., 1955, 1969, 1972, 1973, 1975; Rawls, 1971; and Hartshorn and Mauk, 1928).

If research reveals a significant relationship between a particular leadership style and some level of moral judgment, then further research along this line of investigation will be appropriate. More specifically, the results of this experiment may justify an analysis of the relationship of leadership style and moral development in an industrial setting. The results of such a study may reveal interventions in leadership training programs. Such interventions may include strategies to upgrade a particular moral development of a particular style of leadership.

TABLE 1

DEFINITION OF MORAL STAGES[2]

I. Preconventional Level

At this level, the child is responsive to cultural rules and labels of good and bad, right or wrong, but interprets these labels either in terms of the physical or the hedonistic consequences of action (punishment, reward, exchange or favors) or in terms of the physical power of those who enunciate the rules and labels. The level is divided into the following two stages:

Stage 1: The punishment-and-obedience orientation. The physical consequences of action determine its goodness or badness, regardless of the human meaning or value of these consequences. Avoidance of punishment and unquestioning deference to power are valued in their own right, not in terms of respect for an underlying moral order supported by punishment and authority (the latter being Stage 4).

Stage 2: The instrumental-relativist orientation. Right action consists of that which instrumentally satisfies one's own needs and occasionally the needs of others. Human relations are viewed in terms like those of the marketplace. Elements of fairness, of reciprocity, and of equal sharing are present, but they are always interpreted in a physical, pragmatic way. Reciprocity is a matter of "you scratch my back and I'll scratch yours," not of loyalty, gratitude or justice.

---

[2] Lawrence Kohlberg, "Stages of Moral Development as a Basis for Moral Education," in Moral Education: Interdisciplinary Approaches (New York: Newman Press), pp. 86-88.

II. Conventional Level

At this level, maintaining the expectations of the individual's family, group, or nation is perceived as valuable in its own right, regardless of immediate and obvious consequences. The attitude is not only one of conformity to personal expectations and social order, but of loyalty to it, of actively maintaining, supporting, and justifying the order, and of identifying with the persons or group involved in it. At this level, there are the following two stages:

Stage 3: The interpersonal concordance or "good boy-nice girl" orientation. Good behavior is that which pleases or helps others and is approved by them. There is much conformity to stereotypical images or what is majority or "natural" behavior. Behavior is frequently judged by intention--"he means well" becomes important for the first time. One earns approval by being "nice".

Stage 4: The "law and order" orientation. There is orientation toward authority, fixed rules, and the maintenance of the social order. Right behavior consists of doing one's duty, showing respect for authority, and maintaining the given social order for its own sake.

III. Postconventional, autonomous, or principled level

At this level, there is a clear effort to define moral values and principles that have validity and application apart from the authority of the groups or persons holding these principles and apart from the individual's own identification with these groups. This level also has two stages:

Stage 5: The social-contract, legalistic orientation, generally with utilitarian overtones. Right action tends to be defined in terms of general individual rights and standards which have been critically examined and agreed upon by the whole society. There is a clear awareness of the relativism of personal values and opinions and a corresponding emphasis upon procedural rules for reaching consensus. Aside from what is constitutionally and democratically agreed upon, the right is a matter of personal "values and opinion." The result is an emphasis upon the "legal point of view," but with an emphasis upon the possibility of changing law in terms of rational considerations of social utility (rather than freezing it in terms of Stage 4 "law and order"). Outside the legal realm, free agreement and contract is the binding element of obligation. This is the "official" morality of the American government and constitution.

Stage 6: The universal-ethical-principal orientation. Right is defined by the decision of conscience in accord with self-chosen ethical principles appealing to logical comprehensiveness, universality, and consistency. These principles are abstract and ethical (the Golden Rule, the categorical imperative); they are not concrete moral rules like the Ten Commandments. At heart, these are universal principles of justice, of the reciprocity and equality of human right, and of respect for the dignity of human beings as individual persons.

RESEARCH RELATED TO MORAL DEVELOPMENT

Moral judgment and concommitant moral behavior is the subject of much casual empiricism. The topic, per se, dates as far back as Aristotle and Antigone. Twentieth Century philosophical views are presented by John Dewey (1904) and Jean Piaget (1948).

Experimental research began in the middle 1950s by developmental psychologist Jean Piaget. Piaget's efforts were extended in 1958 and again in 1963 by Lawrence Kohlberg. The present research efforts draw heavily from the philosophical base advanced by Dewey and the theoretical base established by Kohlberg.

The purpose of this section is to review empirical research on moral development so that it is possible to determine what new knowledge will add to the moral development theory and management behavior theory.

Kohlberg's Thesis

In the middle 1950s Lawrence Kohlberg began research on moral judgment. The thrust of these initial efforts examined propositions advanced by Dewey and Piaget. Piaget suggested that children pass through three stages of moral development: (1) a pre-moral stage where there is no sense of morals to rules; (2) a hetronomous stage where what is right is equated with power and punishment (ages 4 to 8); and (3) an autonomous stage where rules have purpose and the consequences of breaking rules are known by the individuals.

Kohlberg's concept of moral stages follows Piaget's. In describing these stages Kohlberg suggests:

1. Stages are "structured wholes," or organized systems of thought. Individuals are *consistent* in level of moral judgment.
2. Stages form an *invariant sequence*. Under all conditions except extreme trauma, movement is always forward, never backward. Individuals never skip stages; movement is always to the next stage up.
3. Stages are "hierarchical integrations." Thinking at a higher stage includes or comprehends within it lower-stage thinking. There is a tendency to function at or prefer the highest stage available.

Research Findings Based on Stage Theory

James Rest summarizes the impact of Kohlberg's research in a 1974 state of the art paper. Rest himself very active in moral development research writes of ten major research findings related to Kohlberg's thesis:

1. Older in contrast to younger subjects show greater use of higher stage thinking. This finding--the higher the age the higher the stage--supports the developmental theory if we assume that chronological age is an index of individual development.

2. These age trends were found in various cultures (Formosa, Turkey, and Mexico.)

3. Some longitudinal research completed in the 1960s (Kramer and Kohlberg) roughly supports the contention that subjects tested at three year intervals show upward change. However, some high school subjects upon reaching college appeared to regress rather than progress.

4. Intervention studies undertaken show that in so far as subjects do change, they change upward one step at a time.

5. Correlations of Kohlberg's scale with I.Q.,...and Loevinger's ego development scale support the cognitive developmentalist's emphasis on the rationality of moral development.

6. Results of a comprehension test developed on the basic concepts of each stage and administered to subjects along with Kohlberg's regular interview indicated that subjects' comprehension of concepts is high for the stages up to and including his own stage, but falls off for concepts at stages higher than his own.

7. Research results of moral judgment to moral action and feeling show modest but statistically significant relationship with delinquency, cheating behavior and teacher and peer ratings of moral behavior.

8. The characteristics of a "rich" social environment for facilitating young person's development in moral judgment seem to be: participation in many groups and leadership roles, parents who encourage children to discuss their moral views, high social economic class and residence in an urban setting, social popularity, and living in a commune.

9. Stage scores from Kohlberg's set of moral dilemmas have modest but significant correlations with stage scores based on political dilemmas and sexual dilemmas.

10. Research into the cognitive components of moral judgment suggest that certain role taking skills and Piagetian Formal Operations are prerequisites to moral judgment stages.

Partial Answers to Important Questions

Research on moral development is far from complete. Many questions remain unanswered by empirical research. Five questions to which only partial answers are available are presented below. Answers to these questions are needed to determine the validity of the moral development theory.

1. At what level or stage are most people?

Few people ever reach stage six. Most people operate at the lower stages. Haan (1968), using students at the Berkeley campus of the University of California as subjects of his analysis, found approximately 40 per cent of the subjects at stage four; and approximately 32 per cent at stage three. Ten to fifteen per cent of the subjects were at stage six. The stage six group were classified as upper middle class "radicals". The radical students were active in student protest movements at Berkeley. Haan's research supports the findings of Kohlberg (1963) and later, Rest (1969), that a majority of people are at stages three and four.

2. Do classic dilemmas measure actual real life responses?

This question is the subject of much debate among those who study moral judgment. The first part of the question relates to what the classical dilemmas measure. A classical dilemma is, for example: Should a woman steal money to pay for medical treatment for her son who will die if he does not receive the treatment? The term classic is applied because most people will never encounter such a situation. The classical dilemmas of Kohlberg and those in this study measure how a person thinks about the particular moral dilemma.

Rest, Turril and Kohlbert (1969) examined the issue of classical dilemmas versus practical dilemmas. A practical dilemma is one which an individual would be likely to confront such as buying illegal drugs. No significant difference was found to exist between the responses of younger (elementary school age) and older (post high school) on either type of dilemms. The researchers did not answer the question: Is reasoning different for the two types of dilemmas?

3. Are people able to temporarily suspend their moral decision making abilities?

Kohlberg (1975) suggests that an analysis of all the public statements made by Richard Nixon regarding Watergate were stage two thinking, you scratch my back and I'll scratch yours. Stage two reasoning is generally attributable to adolescents and preadolscents. Obviously, a person who reaches the office of the President does not reason like a twelve year old. However, the fact of the low level public utterances remains. And Watergate really happened. At issue is the notion that somehow the President and his men were able to suspend or temporarily interrupt their moral decision making logic and commit felonies. A similar situation occurs on a daily basis in business. Recent disclosures of bribes to foreign officials by major U.S. corporations are one such example.

4. How or why does one progress from one stage to the next stage?

The evidence which tends to verify the assumption that the stages of moral judgment are in fact invariate and developmental is clear. It is generally accepted that the rapidity and extent of progression through the stages are related to intelligence and to some extent social class (Kohlberg, 1958; Weinreigh, 1970). What remains unknown is how or why one progresses through these stages.

5. Do answers in advance bias test results?

To date most research on moral judgment relies on the interview technique to obtain data. An objective instrument is, as yet, unknown. Rest (1974) is working on such an instrument with the goal of obtaining a moral I.Q.

In 1966 Turril experimented with the idea of giving written answer choices to moral dilemmas in an experimental situation. Turril first conducted Kohlberg-type interviews with the subjects of the experiment. Then, with the stage development determined, the subjects were given written advice on the previously tested dilemmas. The advice represented stages at, one below, one above and two above the particular stage of the individual subject. The subjects were then re-interviewed to determine if the advice produced changes.

The results of the experiment reveal that the subjects preferred the advice which reflected thinking at one stage above the subject's original level. It may be concluded that under these circumstances that multiple choice type answers to moral dilemmas may result in responses one stage higher than the subject would be placed by using interview methods.

ANALYSIS OF DATA

The correlation coefficient was the primary statistic used in the analysis of data. Although the correlation coefficient does not reveal cause and effect, it does establish the extent to which items are related.

TABLE 2

STYLE/ STAGE	9-9	5-5	9-1	1-9	1-1
1 and 2	-0.113884 0.1439	0.140258 0.0705	0.275871 0.0007	0.163307 0.0350	0.155201 0.0451
2 and 3	-0.031932 0.6886	0.171877 0.0265	0.200932 0.0099	0.101869 0.1926	0.088515 0.2601
3 and 4	-0.110504 0.1565	0.217278 0.0055	0.252445 0.0015	-0.008091 0.9150	0.092847 0.2366
4 and 5	-0.014642 0.8471	0.081596 0.3009	0.147631 0.0567	-0.047949 0.5505	-0.001186 0.9851
5 and 6	0.144618 0.0621	-0.046454 0.5631	-0.012819 0.8654	0.071782 0.6345	0.044552 0.5793

Correlation Coefficients for Management Styles
and Stages of Moral Judgment

Table 2 contains the correlation coefficients and the significance level of each coefficient from the computations based on management style scores and moral judgment scores. An analysis of this numerical data reveals significant as well as insignificant relationships, and direct, as well as inverse relationships.

A measure of central tendency, the mean, and a measure of dispersion, the standard deviation, were also used in the analysis of data. Mean scores were computed for each of the five management styles and for each of five combined stages of moral judgment. An analysis of these statistics and the correlation coefficients as applied to the various styles of management and stages of moral judgment is the subject of this section of the paper.

Moral Judgment and Style 9-9

The 9-9 management style, (high people, high task) is inversely related to four of the five stages of moral development. The strongest inverse relationship occurred at stages 2 and 3, r = -.319. None of the four negative correlations were significant at the .05 level. The three other negative correlations were, in descending order, -.113 for stages 1 and 2; -.11 for stages 3 and 4; and -.014 for stages 4 and 5.

Stages 5 and 6, the highest level of moral development, bore a slight positive relationship to the 9-9 styles, .144. This relationship is not significant at the .05 level, however, it is significant at the .0621 level.

Moral Judgment and Style 5-5

Management style 5-5 (middle of the road) is directly related to the moral development stages at the middle and lower levels and inversely related to the moral development styles at higher levels. The strongest relationship, r = .217 occurred at stages 3 and 4. This relationship is significant at the .05 level. The relationship of stages 2 and 3 to style 5-5, r = .171, was also significant at the .05 level. The inverse or negative correlation occurred at stages 5 and 6.

Moral Judgment and Management Style 9-1

Management style 9-1 (high task, low people) was more closely related to the middle and lower stages of moral judgments than any other management style. The highest correlation, .275, in the matrix occurred at stages 1 and 2. This correlation was significant at the .05 level. The second highest correlation in the matrix, .252 occurred at stages 3 and 4. This correlation was also highly significant (p = .001). A third highly significant correlation, r = .20, p = .0007, occurred at stages 2 and 3.

Style 9-1 bore a slightly, although not significant, positive relationship to stages 4 and 5, r = .147. A slightly negative relationship existed at stages 5 and 6.

Moral Judgment and Style 1-9

One significant correlation occurred with moral judgment and style 1-9 (low task, high people). Stages 1 and 2 bore the significant relation to this style, r = .163, p = .03. Stages 3 and 4 bore a slight negative relationship to the 1-9 style. No discernible relationship exists between the 1-9 style and stages 2 and 3 and stages 5 and 6.

Moral Judgment and Style 1-1

Management style 1-1 (low people and low task) bore some relation to stages 1 and 2. Of the five correlations with this style, stages 1 and 2 yielded the strongest correlation, r = .155. This correlation was also significant at the .05 level. The other four correlations were less than I.10. None of the other correlations of moral development stage and 1-1 style were significant.

Central Tendency and Dispersion of Management Style Scores

The mean scores of the five management styles ranged from a low mean of 50.6, the 9-1 style to a high mean of 92.2, the 9-9 style. This difference revealed that a majority of the respondents tended to weight questionnaire items which related to the 9-9 style heavier than similar questionnaire items related to style 9-1. Other mean scores, presented in table 3, were in descending order 74.0 for the 1-9 style; 68.0 for the 5-5 style; and 54.9 for the 1-1 style.

TABLE 3

VARIABLE	N	MEAN	STANDARD DEVIATION	LOW	HIGH
Style 9-9	163	92.23	12.60	59	117
Style 5-5	163	68.00	11.77	36	99
Style 9-1	163	50.60	13.48	20	89
Style 1-9	163	74.09	10.33	20	98
Style 1-1	163	54.92	11.21	23	88
Stages 1 and 2	163	40.21	8.80	22	99
Stages 2 and 3	163	51.37	8.88	34	95
Stages 3 and 4	163	57.19	7.88	38	76
Stages 4 and 5	163	62.90	7.94	43	114
Stages 5 and 6	163	69.78	9.03	50	113

Measures of Central Tendency and Dispersion for Management Styles and Stages of Moral Judgment

The standard deviation revealed the degree of dispersion of the scores for the five management styles. The 9-1 style scores had the largest standard deviation, 13.4. The 1-9 style scores had the smallest standard deviation, 10.3. The remaining standard deviations were in descending order, style 9-9 with 12.6, style 5-5 with 11.7, and style 1-1 with 11.2.

Central Tendencies and Dispersion of Moral Judgment Scores

The mean scores of the five combined stages of moral judgment ranged from a low of 40.2, stages 1 and 2, to a high of 69.7, stages 5 and 6.

It appears the respondents gave more weight to questionnaire items related to the higher levels of moral judgment than to similar items related to the lower levels of moral judgment. The mean scores for the other three combined stages were: 62.9 for stages 4 and 5; 57.1 for stages 4 and 3; and 51.3 for stages 3 and 2.

The largest standard deviation occurred at stages 5 and 6, sd = 9.03. Stages 1 and 2 and stages 3 and 4 had standard deviations of 8.80 and 8.88 respectively. Stages 3 and 4 and stages 4 and 5 were almost identical. These standard deviations were 7.88 for the former and 7.94 for the latter. Less than 2 points separate the range of standard deviations of the moral judgment stages.

CONCLUSIONS

Based on the analysis of data, it may be concluded that:

1. Respondents in the survey indicate a pronounced propensity toward the 9-9 management style (high relationship, high task orientation).

2. In consideration of the 9-9 style, the respondents in the survey are more task oriented than relationship oriented.

3. Respondents who were high task oriented and low relationship oriented (9-1) tended to use the middle and lower stages of moral judgment.

4. Respondents who were "middle of the road" (5-5) tended to use the middle stages of moral judgment.

5. Respondents who were of a low task and high relationship orientation (1-9) as well as respondents who were low in both orientations (1-1) tended to use the lower stages of moral judgment.

6. Respondents who score high on both task and relationship scales, 9-9 style, tended not to use the lower and middle stages of moral judgment. The extent to which these respondents used the higher stages of moral judgment is not clear.

7. The null hypothesis, there is no significant relationship between leadership styles and stage of moral judgment may be rejected:

   $H1_1$ There is no significant correlation between 9, 9 management and stages 5 & 6 of moral development, may be rejected at the .061 level.

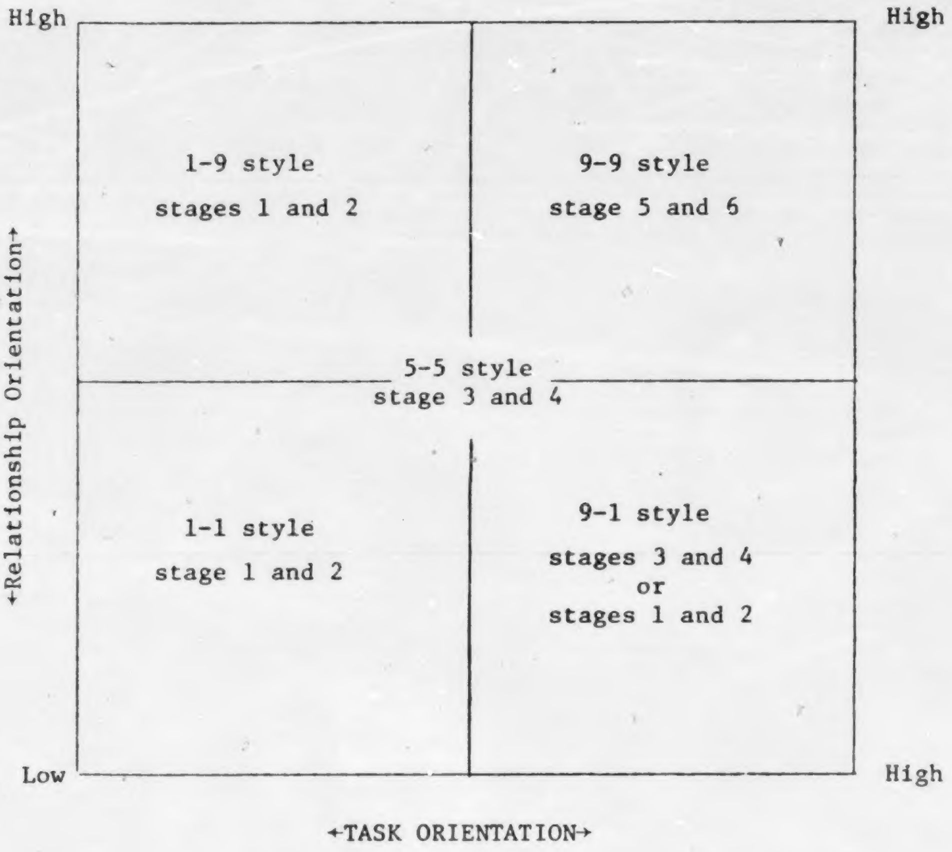
Hl_2 There is no significant correlation between 9, 1 management and stages 4 & 5 of moral development, may be rejected at the .001 level.

Hl_3 There is no significant correlation between 5, 5 management and stages 3 & 4 of moral development, may be rejected at the .005 level.

Hl_4 There is no significant correlation between 1, 9 management and stages 2 & 3 of moral development, cannot be rejected.

Hl_5 There is no significant correlation between 1, 1 management and stages 1 & 2 of moral development, may be rejected at the .04 level.

FIGURE 2


High
High
1-9 style
stages 1 and 2
9-9 style
stage 5 and 6
5-5 style
stage 3 and 4
1-1 style
stage 1 and 2
9-1 style
stages 3 and 4
or
stages 1 and 2
←Relationship Orientation→
Low
High
←TASK ORIENTATION→

Moral Judgment Stages Related to Management Styles

IMPLICATIONS FOR COMMUNICATION

Managers who may be classified as having a high task, low relationship orientation tend to justify their actions by (a) a law and order frame of reference or (b) a punishment-obedience frame of reference. Similarly, managers who may be classified as middle of the road, 5-5 style, tend to justify their actions from a law and order frame of reference. (See Figure 2).

Both managers who may be classified as low task, high relationship and classified as low task, low relationship orientations may tend to justify their actions from a punishment-obedience orientation, with emphasis on the second level of these stages, the principle of reciprocity or doing favors.

APPENDIX A

Sample Items From the Management Style Questionnaire

1. An employee created a stress situation by criticizing many of my decisions to other members of the staff. In discussing this situation with him/her I will probably:

   a. Try to win the employee's respect and then persuade him/her to my point of view.

   b. Talk as little as possible and wait for the employee to ask for my opinions or ideas.

   c. Be as active as the employee and try to arrive at conclusions which represent our joint points of view.

   d. Allow the employee to do most of the talking in the interview, and listen in a non-judgmental and accepting manner.

   e. Be very active in the discussion to clarify the reasons underlying my decisions and the positions I feel must be adopted.

Most Similar	10	9	8	7	6	5	4	3	2	1	Least Similar

2. The President of the company asked me to help devise a proposal for more employee participation in setting company policy. In these committee meetings with various managers, I will probably:

   a. Wait for my opinion to be asked and usually accept the majority opinion.

   b. Assist others in clarifying their ideas and emphasize good relations among committee members.

   c. State my ideas and opinions in the context of my contact with subordinates and work toward a feasible proposal.

   d. Try to persuade the committee members to accept my point of view and push for a proposal that can realistically be adopted.

   e. Encourage everyone to actively participate and emphasize understanding and agreement of a proposal that is satisfactory to all involved.

Most Similar	10	9	8	7	6	5	4	3	2	1	Least Similar

APPENDIX B

Sample Item From the Moral Judgment Questionnaire

George Wilson, manager of a small wholesale business, announced a Christmas bonus offer to his employees. George said if 3rd quarter profits were up 10% over last year each employee would get a 5% bonus in their December checks. The employees worked very hard. Third quarter profits were up 11%. In the December checks George gave a 2% bonus. He kept the other 3% for himself as he felt he did most of the work.

a. George is the boss so he can keep the 3%. The employees should have worked harder.

b. Breaking of the promise destroys the trust and respect the employees have for George.

c. George had no right to lower the bonus to 2% after he promised to give 5%.

d. George can and did lower the bonus, but the employees should not passively accept it. They have rights too.

e. George should give a 3% bonus, the same as he kept for himself.

f. The employees should accept the bonus graciously. But the employees will lose trust in him (by breaking the promise of the bonus).

Agree With Most	10	9	8	7	6	5	4	3	2	1	Agree With Least

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